UNIVERSITY OF ALBERTA

EXTENSIVE ENGAGEMENT:
CHIEF EXECUTIVE OFFICERS' FORMATIVE LIFE EXPERIENCES RELATED TO THEIR PARTICIPATIVE STYLE OF LEADERSHIP

BY

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UNIVERSITY OF ALBERTA

FACULTY OF GRADUATE STUDIES AND RESEARCH

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DEDICATION

To my husband, Robert Jennings, who surrounds me with love and laughter and whose ‘extensive engagement’ with life is a joy and inspiration.

To the men who generously participated in this study and, by so giving of themselves and their experiences, demonstrated once again their commitment to a larger community.

ABSTRACT

The demands on the leadership of organizations have become more intense than ever. In a world characterized by rapid change and increasing complexity, the very survival of any organization depends on its ability to adapt. Increasingly prevalent factors affecting organizations from within and without contribute to an emphasis being placed on a participative leadership style. These developments (Adler, 1997; Larson & Mingie, 1992) underscore the importance of expanding our knowledge about leaders who use a participative style of leadership.

The present study was undertaken as an inquiry to contribute to an apparent gap in the research: Although the value and use of the participative style of leadership had been promoted, there had been minimal effort at understanding more about the chief executive officers who came to use that style. The purpose of this study was to gain a better understanding of the formative life experiences of chief executive officers that helped shape their use of a participative style of leadership. Using grounded theory methodology, seven chief executive officers who were identified as using a participative style of leadership were interviewed about their formative life experiences.

The reflections of the participants in the study gave rise to a data-based theory focused on the core category of extensive engagement; other categories and sub-catergories were identified. A conceptual model was developed that accorded a way of viewing and understanding the extensive engagement experienced by the

participant chief executive officers. They experienced this engagement throughout multiple aspects of their lives, both intrapersonally and interpersonally. Categories of values beyond personal needs, positive approach to change, and dynamic leader qualities shaped the experience of intrapersonal engagement. Interpersonal engagement was comprised of the categories of family, company, and community. The participative style of leadership that initially helped define them as a participant group came to be considered as an aspect of their interpersonal engagement with their company.

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CHAPTER ONE

Introduction

Background to the Study

Leaders as individuals as well as the type of leadership they demonstrate have been subjects of interest since the origins of our civilization as is, for example, evident in the writings of Plato. The topic of leadership has expanded to become a tremendously important issue today as indicated by the vastness of the body of research related to it. Indeed, it appears to be one of the most important issues in applied psychology (Hogan, Curphy, & Hogan, 1994). A review lists over 7,000 books, articles, or presentations related to leadership (Bass, 1990) and more material appears every year. As can thus be appreciated, the span of time during which leadership has been a focus combined with the extant breadth of study compels the recognition that leadership is a topic of significant interest and considerable research. The present investigation aims to contribute to leadership research by focusing on and learning more about chief executive officers who use a participative style of leadership. Clarified in the balance of this chapter is how the parameters of the study were determined, the need for the study, and the purpose of the study.

The demands on the leadership of organizations have become more intense than ever. In a world characterized by rapid change and increasing complexity, the very survival of any organization depends on its ability to adapt (Larson & Mingie, 1992). New markets, new competitors, new regulations, new technologies, new political realities--these are some of the powerful forces that are transforming the global economy. As a result, success or failure of a corporation increasingly depends on the ability of the leadership of the corporation, also referred to as the executive, to understand and react to economic, social, or technological changes.

As they are ultimately held accountable for organizational success, chief executive officers (CEOs) are a group of individuals of great interest to all the stakeholders related to the corporation as well as to academicians. For example, the employees, stockholders, and communities at large are all affected by the CEO's executive decisions (Judge, Boudreau, & Bretz, 1994). It is apparent, then, that any study providing additional information about chief executive officers makes a contribution to several groups of readers (Beggs & Doolittle, 1988).

Although many models of leadership research and application use the term 'leader' to designate individuals occupying a wide range of managerial positions from supervisors to executives, this researcher chose to restrict her study to chief executive officers because, as noted above, the final responsibility for their organization's success rests with them. Additionally, Hollander and Offerman (1990) noted that it is often difficult to make comparisons across studies in regard to 'supervisors,' 'leaders,' and 'executives.' A particular term is typically operationalized in a study according to how the responding company utilized the term, although the individual conducting the research was likely aware that the term may be variably applied in different organizations. Given the difference in managerial roles and responsibilities at different levels (e.g., Kanungo & Conger, 1989; Kraut, Pedigo, McKenna, & Dunnette, 1989) the application of these studies' findings to chief executive officers may not be fully warranted. Understanding leadership at the top of the organizational hierarchy is important (Hollander & Offerman, 1990) and this study was therefore specific in using as research participants those individuals who held the positions of chief executive officers, thus avoiding a potential blurring of the distinctions between leaders and managers.

Intertwined with the perception of accountability for organizational success is the concept of effectiveness, which concerns judgments about a leader's impact on an organization's bottom line (Hogan et al., 1994) which might be profitability, quality of service, or gain of market share. Hogan et al. (1994) considered that effectiveness was a standard by which leaders should be judged, consistent with Hollander & Offerman (1990) who considered that our ready willingness to attribute outcomes to leaders underscored the importance of effective leadership. Accordingly, the chief executive officers who were invited to participate in this research had previously been identified by peers and industry associates as effective leaders.

Within leadership research there is a context of thinking encouraging the value of participative leadership (Hollander & Offerman, 1990). First, this has arisen because of significant developments during the past two decades contributing more information about the exercise of power in organizations. For example, concepts of empowerment and power sharing (e.g., Burke, 1986; Kanter, 1981) reflect the greater attention being paid to groups and team effort, in part attributed to successful Japanese management practices (Hollander & Offerman, 1990). Thus an increased appreciation of a participative leadership style has evolved. Indeed, Burke (1986) noted that a climate of participative management with greater follower involvement in decision making appeared to be more common in organizations and appeared to increase commitment and profitability within the organization.

Additionally, it appears that expanding the role of the subordinates with a participative style of leadership reciprocally expands the role of the leader (Hollander & Offerman, 1990). While employees gain and exchange expertise and knowledge through participation, leaders are freer to engage in other activities which may be organizationally profitable (i.e., long term planning, market forecasting). As well, Kouzes and Posner (1987) point out that the role of leaders as transmitters and upholders of organizational values is increasingly being emphasized, and that participative leaders may be more engaged in ethical and responsive leadership.

Finally, increasingly prevalent factors affecting organizations from within and without also contribute to the emphasis being placed on a participative leadership style. Adler (1997) points out that as organizations flatten out structurally and become international by spreading out geographically, this style will become more important. She asserts that some highly successful but hierarchical 20th century corporations have suffered in the marketplace because they have been unable to adapt to this new leadership style.

These workplace developments underscore the importance of expanding our knowledge about leaders who use a participative style of leadership. Thus, the chief executive officers who participated in this current research were previously identified by industry associates as not only effective but also as engaged in a participative style of leadership.

Need for the Study

The present research aims to amplify developments about leadership research by focusing on chief executive officers who use a participative leadership style. More specifically, the study was undertaken as an inquiry to contribute to an apparent gap in the research to date: Although the value and use of the participative style of leadership has been promoted (e.g., Adler, 1997; Burke, 1986;

Hollander & Offerman, 1990) there has to date been little effort at understanding more about the chief executive officers who have come to use that style. Information in this regard would contribute important information to leadership research. Do these leaders share certain qualities? Do they share specific experiences that set them apart from other leaders?

In order to answer these questions, it is first important to understand that a distinction in the leadership research can be made between that which is macro or more sociologically/organizationally focused, and that which is micro or more psychologically focused (House & Singh, 1987). This concept can be expressed, for example, by noting the distinction between research that, because of a need to revitalize corporations faced with foreign competition, examines prescriptive approaches to corporate transformation, and research that examines a specific phenomenon of leaders (Sooklal, 1991). Consistent with the distinction between the foci of research, it is important to clarify that this current study concentrates on the micro, or psychological, side of research with a specific emphasis on the leaders themselves. Indeed, Kets de Vries (1989) espoused the value that psychological processes possess to deepen our understanding of the dynamics of leadership.

Beggs and Doolittle (1988) noted that "personal characteristics are reflections of life experiences of CEOs" (p.19). When those individuals come to their place of work, they bring with them an assortment of drives and needs that are shaped by the history of life events. "In other words, the life experiences (of CEOs) shape opinions, attitudes, values and ethics..."(p.19). It is this researcher's assertion that an examination of the essential life experiences of these chief executive officers will provide useful information related to their personal qualities and use of a participative leadership style.

This study will move away from the traditional thrust of much scientific research which seeks to answer *why* empirical regularities are observed and will instead ask a question more rooted in an historical context to explore *how* those empirical regularities got to be that way (House & Singh, 1987). That is, this study will be an exploration of the historical context, or the formative life experiences, of these leaders to arrive at some understanding about them and their leadership style.

This study represents a departure from traditional research in the area of leadership in two other ways. First, it will utilize a grounded theory approach for its methodology. A consideration of alternate methodologies determined that a grounded theory methodology held most promise because of its orientation towards discovery rather than verification. A grounded theory methodology allows for a focus on the experience of the research participants and on the important concepts that they describe. Thus, it avoids forcing responses into categories and instead uses the actual narratives of the participants to formulate themes and concepts. Theory is generated from the data rather than data fitted into an existing model, and this is particularly helpful when one wants to identify salient considerations in relatively new areas. In the current study the research focus and research methodology are inextricably tied. It is noted that a review of literature in the area located only one other related study (Sooklal, 1991) that was based upon grounded research.

Second, this research utilizes a specific context as part of its framework. Javidan (1993) noted that a considerable amount of previous research was approached through the use of context-free methodologies that contributed research information but did little to shed light on influencing forces. This study provides information about the life experience of chief executive officers related to their leadership style, and the information is thus rooted in the context of experiences that were formative to an important aspect of their lives.

Purpose of the Study

The purpose of this study is to gain a better understanding of the formative life experiences of chief executive officers that helped shape their use of a participative style of leadership. Grounded theory methodology allows for both description of the phenomena under study as well as explanation of the phenomena through data-driven theory formation. The grounded theory method also anticipates that the initial research question may evolve and be transformed as the study proceeds (Strauss & Corbin, 1990).

Data were gathered through interviews with seven chief executive officers who met the following criteria: (a) they were identified by associates as chief executive officers who utilized a participative style of leadership; (b) they were identified by associates as effective leaders; (c) theirs was a mid-sized oil and gas company within the Canadian petroleum industry; and (d) they were able and willing to reflect on and articulate their life experiences.

Organization of the Thesis

In Chapter One the researcher presents background information about the research area of leadership. She then identifies the rationale for selection of the research question and grounded theory methodology.

The researcher addresses in Chapter Two the main issues in the research area with a review of the current literature. Information regarding the development of established leadership theories is presented, followed by an overview of the participative style of leadership. Included in the final section is a summary of research that focuses on the individual phenomena of leaders.

In Chapter Three the researcher provides an overview of grounded theory methodology and outlines the application of the methodology in the present study. A description of the process of participant selection, data collection, and data analysis is presented. Ethical considerations are explored.

Offered in Chapter Four are the findings of the study with a description of the proposed conceptual model. The identified core category and its integral categories and subcategories are presented.

The researcher discusses in Chapter Five the findings that are gained from the study. These new understandings are placed within the context of the current professional literature, and the researcher's discoveries and interpretations are elaborated upon. Limitations of the study are examined, and implications for future research are presented.

CHAPTER TWO

Literature Review

Introduction

In terms of the number of printed pages devoted to the subject, leadership appears to be one of the most important issues in applied psychology (Hogan et al., 1994). A vast amount of information from empirical investigation has been published and more volumes are added each year. Given the extent of these theories, studies, and insights it is not surprising that perspectives differ about the state of leadership research. Some believe that leadership is one of the most studied and least understood constructs in organizational science (e.g. Griffin, Skivington, Moorhead, 1987), while others suggest that understanding is progressing in a fairly orderly and systematic fashion (Bass, 1990).

The following review of literature presents a highlight of established leadership theories that are organized according to the following perspectives: (a) studies of the leader to determine the traits necessary for leadership, (b) studies of the behavior and actions of leaders to determine the best style to follow, (c) studies of the situation and context as influencing the emergence and style of a leader, (d) studies of the transactional process between leaders and followers, and (e) studies of the charismatic and transformational experience of leadership. Following that, a discussion of the elements of a participative leadership style is provided. Finally, significant conceptualizations of specific phenomena of leaders as individuals are presented.

Trait Approach

The original trait conception of leadership is founded on the major assumption that leaders possess universal characteristics that make them leaders. Trait theories of leadership center around determining which personal and/or physical traits of leaders separate them from nonleaders. The objective of this approach is to define the leadership traits to facilitate the future identification of potential leaders based on the presence of the critical traits. These characteristics are seen to be fixed, largely inborn, and applicable across situations, and range from height, age, and beauty to ambition, popularity, and talkativeness (Bass, 1990). Broadly speaking, this is the essence of the "Great Man Theory" put forth by Galton (1869) and his followers. Stogdill's (1974) review of trait studies concludes that leaders probably do possess personal characteristics which set them apart from nonleaders, but those characteristics are related to the situation. That is, the leaders are operating in a context with followers which influence the actions and performance of the leader. Trait theories declined in their acceptance in the 1950's as interest developed in the particular behaviors needed to perform well as a leader, rather than those needed to become one.

Behavioral Approach

In 1947 research about leader behavior began at Ohio State University. Behavioral theories of leadership propose to study what leaders actually do, the actions they take, and their interaction with subordinates. Gradually two major centres of leadership behavior studies began to emerge, one at Ohio State University (Fleishman, Harris, & Burtt, 1955) and the second at the University of Michigan (Likert, 1961).

Attempting to determine the factors that appear to lead to high productivity and morale among workers is the focus of research. The two basic behavior categories of leader emphasis on task accomplishment and leader concern for group maintenance have been identified. In a review of several thousand research studies, Stogdill (1974) concludes that person-oriented leader behavior is more likely to increase follower satisfaction than group productivity, that work-oriented leader behavior is more likely to increase productivity than satisfaction, and that neither type of leader behavior is consistently associated with productivity. According to Yukl (1981), after criticism, behavioralists were beginning to accept that a leader's style might vary depending on a variety of other factors like type of organization, the group, and the goals. Theorists were then beginning to apply their understanding of traits and behaviors to the exploration of the context in which the leader functioned.

Situational Approach

The premise of the situational approach is that situations varied in the qualities demanded of leaders, so those qualities were appropriate to a particular task and interpersonal context (House & Singh, 1987). The situational studies focus on the characteristics of leaders, the subordinates, and the situation which includes factors such as task and work flow, the availability of human and material resources, and the quality of the group relations. The first situational theory is Fiedler's (1967) contingency model, followed by the path-goal model of House (1971), and the Vroom and Yetton (1973) normative model of leadership and decision making. Considered in these models is leadership effectiveness as a joint function of leader qualities and situational demands interacting to make leader qualities variously appropriate to a particular task. More recently, the emphasis has shifted to exploring followers' perceptions of the attributions of leaders (Calder, 1977; Lord, DeVader, & Alliger, 1986; Lord & Maher, 1990) as an important situational element.

Least Preferred Coworker Contingency Model

Fiedler's Least Preferred Coworker (LPC) model (1967) makes a distinction between two leader styles of task orientation and relationship orientation by using an LPC measure. Workers are asked to rate the person in their lives with whom they could work least well: High LPC scores are scored favorably and associated with having a relationship orientation, and low LPC scores are rated unfavorably and associated with a task orientation. According to Fiedler, when these factors are either all favorable or all unfavorable, then task-oriented leaders should perform best. When they are mixed, then relationship-oriented leaders should perform best. The LPC model has continued to generate interest and controversy (e.g., Fiedler, 1977; Rice & Kastenbaum, 1983).

Fiedler's (1986) more recent Cognitive Resources Utilization theory is linked to his earlier work, and is intended to specify the conditions under which leader intelligence and task-related abilities are predictive of follower performance. That is, it attempts to explain the conditions under which leader-cognitive resources such as intelligence, technical competence, or job-relevant knowledge will be employed effectively by the leader. The theory predicts that when leaders employ directive leader behavior, are not under stress, have the support of followers, and possess task-relevant knowledge they will make most effective use of whatever cognitive resources they possess. His work provides empirical support for the predictive validity of the specific conditions under which directive behavior will result in effective utilization of the leader's intelligence.

Fiedler and Garcia (1987) find supporting evidence demonstrating that when under stress due to problematic relationships with their group members, leaders rely on prior experience and do not make effective use of their intelligence. These findings are significant to the practice of leadership since stress is a variable that can be effectively managed (Simon, 1976), and through the management of stress it is possible to increase the application of intelligence by leaders. Fiedler's Contingency theory and his Cognitive Resource theory are the first to combine situational and personality variables with empirical validity.

Path-Goal Model

The path-goal theory of leadership (House, 1971; House & Mitchell, 1974) is situational in that it predicts the behavior of the leader given the type of followers and the degree of clarity needed in goals and directions. The emphasis is on the leader's effectiveness in increasing subordinates' motivation along a path leading to a goal. Among this model's predictions are that (a) workers will respond better to directive leader behavior when the task is unstructured and (b) that non-directive leader behavior will be more effective when workers are clear in the distinction between leader/worker roles, whereas a leader initiating structured behavior will be more effective when conditions of high role ambiguity and high job complexity are present.

Normative Model

The Vroom and Yetton (1973) normative model of leadership and decision making emphasizes increased follower involvement in decision making in various leader styles ranging from autocratic to consultative to group leadership. The choice of style is based on situational factors such as availability of information, importance of decision, and the degree to which followers' acceptance is integral to implementing the decision. Baker (1980) points out that studying the model may give leaders more information about how they make decisions and how they can improve that process.

Vroom and Yago (1988) have revised the original decision making model by addressing criticisms offered by other researchers. In the new model, new decision trees have been introduced and new problem sets reflect the larger number of problem attributes. Vroom and Yago posit that training based on their model enables managers to identify situational demands, select or design appropriate methods of dealing with them, and gives them the skills necessary to implement their choices.

Attribution Model

The quality of leader-follower relations is an important situational element that is recognized as affecting the process of leadership. These relations are affected by the leader's attributes such as competence, motivation, and personality characteristics as they are perceived by followers. Leader attributes can play a part in shaping followers' perceptions of and responses to the leader. The link between perceptions and behavior is fundamental to the research interest in leader attributes perceived by followers, and the followers' implicit leadership theories (ILTs) (Calder, 1977; Rush, Thomas, & Lord, 1977). ILTs are followers' preconceptions of what a leader ought to be like, such as competent and considerate. However, bias can be introduced into leadership ratings by followers if the followers make their ILTs the basis for rating leaders, rather than the leaders' actual behavior.

More recently, studies have been exploring follower attributions of leaders that make followers respond affirmatively or otherwise to their leader's qualities (Lord, DeVader, & Alliger, 1986). These researchers demonstrate that perceptions of leaders are largely based on spontaneous recognition of certain characteristics, and followers have widely held expectations of the attributes and behavior of leaders. They successfully explain and predict how perceptions and ratings of leaders, and attributions about them, become distorted as a result of systematic biases in information processing. These perceptions are checked against prototypes held by followers of leader attributes and how leaders should perform (Lord & Maher, 1990). This attribution theory work is an example of the importance of cognitive elements in leader-follower relations. Indeed, according to Gioia & Simms (1986), organizational research reflects the increasing prominence of cognitive approaches in psychology in general. In addition to utilizing cognitive approaches, a process-oriented transactional approach to leadership has developed.

Transactional Approach

Similar to attributional models, transactional approaches to leadership give weight to the follower's perceptions of and expectations about the leader's actions and motives. The essential difference is that while giving emphasis to the significance of followers' perceptions of the leader, the transactional approach more broadly embraces the implicit social exchange or transaction that exists between the leader and followers. That is, the leader gives benefits to followers, such as a definition of the situation and direction, which is reciprocated by followers in heightened esteem for and responsiveness to the leader (Hollander, 1964, 1978; Homans, 1961). This transactional approach fits other contemporary social science views emphasizing the value of persuasive influence, rather than coercive power and compliance in organizational leadership (Kouzes & Posner, 1987).

An important question concerns how followers perceive the leader's source of authority or 'legitimacy', in responding to that leader. A leader's legitimacy affects group performance, the followers' perceptions of the leader (e.g., Ben-Yoav, Hollander, & Carnevale, 1983), and the leader's perception of followers (Green & Mitchell, 1979). Election and appointment can create different psychological climates between leaders and followers; however, the possibility exists that organizational leaders can attain a 'following' by doing more than exercising authority. Katz and Kahn (1978) observe that organizational leadership is an increment of influence above compliance based in authority, and this leadership would be demonstrated by showing attributes such as trustworthiness and credibility that engage followers and evoke commitment from them.

The concept of strategic management as promoted by many organizational consultants appears related to the transactional approach to leadership (Adams & Spencer, 1986; Stumpf & Mullen, 1991). Any number of programs in strategic management, leadership and executive development have been developed which emphasize the key concepts of developing mission (the why), vision (the where), objectives and goals (the what and when), and strategy (the how). In addition, these programs accentuate learning strategies for complex thinking, practicing core communication skills, accommodating adversity, and broadening personal style. Steps to remove constraints and empower the workforce are undertaken, and an emphasis is placed on gaining a systems perspective of the organization.

Burns (1978) considers that transactional leadership is based on what amounts to a bargain struck by both parties to the exchange. Such an exchange, or relationship, usually lasts only as long as the mutual need of the leader and follower can be satisfied by continuing exchanges of goods (from the leader) for services (from the follower).

Burns points out that transactional leadership is based on the exchange of goods which are usually specific, tangible, and calculable. He considers transactional leadership to be more restricted in its intensity and ultimate value than transformational leadership.

Charismatic and Transformational Approach

In contrast to traditional theories of leadership which focus on the factors of performance, satisfaction, and cognitions of followers, charismatic and transformational leadership theories focus on the factors of followers' emotional responses to work-related situations such as: self-esteem, trust, and confidence in the leader, or values and motivation to perform above and beyond the call of duty (House & Singh, 1987). Additionally, while traditional leadership theories describe leaders in terms of task- and person-oriented leader behavior, these newer theories describe leaders in terms of articulating and focusing a vision and mission, creating and maintaining a positive image in the minds of followers, setting challenging expectations for followers, showing confidence in and respect for followers, and behaving in a manner that reinforces the vision and the mission. This 'value-based support' (Sooklal, 1991) can be distinguished from transactional support because it involves support to a cause, principle, or initiative without any discernable promise of reciprocity. It is perceived by those involved individuals as a preference of being. Theories of this kind have been advanced by

House (1977), Burns (1978), Bennis and Nanus (1985), and Bass (1985). All of these theories describe charismatic or transformational leaders as individuals who provide for their followers a vision of the future that promises a better and more meaningful life.

Charismatic Leadership

An older trait-based concept which has now been revitalized is charismatic leadership (Weber, 1946) which is based on a leader's emotional appeal. Weber based the concept on the Greek word charisma, meaning divine gift, and considered such a leader to have considerable power over followers (House & Singh, 1987).

As House (1985) conducts an investigation of charismatic leaders, he operationalizes the term as one who induces a high degree of loyalty, commitment, and devotion to the leader; identification with the leader and the leader's mission; emulation of the leader's values, goals, and behavior; inspiration; a sense of self-esteem from relationships with the leader and mission; and an exceptionally high degree of trust in the leader. Smith (1982) finds that reputed charismatic leaders have a significantly different and positive effect on followers than do effective but noncharismatic leaders. He finds that the followers are more self-assured, experience more meaningfulness in their work, report more support by their leaders, and see their leaders as more dynamic.

Kanungo and Conger (1989) propose a model of leadership that suggests charisma is a quality attributed to the leader by followers based on their perceptions of leader behavior. As such, charisma can be considered an inferred dimension of leader behavior, similar to other dimensions such as task- or people-oriented. They consider the essential and distinguishable behavioral components of a charismatic leader to be a sensitivity to environmental constraints and employee needs, an ability to identify deficiencies in the present situation, an ability to formulate an idealized future vision, use of articulation and impression management skills, an ability to deploy innovative and unconventional means for achieving their vision, and use of personal power to influence followers. Kanungo and Conger consider that these behaviors are interrelated and appear in charismatic leaders as a constellation of behavior components.

Kanungo and Conger (1989) propose that followers are more likely to attribute charisma to a leader when they perceive the leader behavior to be congruent with their own values. Results from a study by Meglino, Ravlin, and Adkins (1991) lends substantiation to that belief by determining that congruence between followers' values and the rated values of a leader was associated with greater anticipated satisfaction with the leader. This connection is stronger when the employees have significant experience with a leader's style.

Transformational Leadership

Burns (1978) has developed a concept related to charisma with his idea of the "transformational leader" who changes the outlook and behavior of followers. Indeed, Bass (1988) makes a distinction between charismatic leaders who substitute for the follower's ego ideal and the transformational leader who can represent and symbolise it.

According to Burns (1978), transformational leadership occurs when leaders and followers "engage" with each other and "raise one another to higher levels of motivation and morality" (p. 20). For example, he contrasts transactional leadership with transformational leadership and considers that transformational leadership appeals to the higher, more general, and comprehensive values that express followers' more fundamental and enduring needs. These values include equality, freedom, control over one's immediate world, and beauty. Thus he sees transformational leadership as an extension of transactional leadership, having greater rewards in leader intensity and follower arousal. Transformational leaders motivate followers to achieve higher order self-actualization needs (Singer & Beardsley, 1991).

Burns' concept of the leader as a transforming agent is applied to organizational leadership by Bass (1985), Bennis and Nanus (1985), and Conger and Kanungo (1988), especially to account for exceptional performance. The essential point is that the leader strives to go beyond the bounds of the usual to bring about a change in follower thinking that will redirect follower actions. Ideas of excellence as exemplified in the popular book by Peters and Waterman (1983) are another example of this research direction.

Bass (1995) shows that compared to transactional style, transformational leadership style results in higher levels of subordinate performance as well as subordinate satisfaction. According to Bass (1985), transformational leadership has three main dimensions. The first, and most prevalent by far, is charisma, followed by individual attention to followers, and intellectual stimulation. He finds a minor dimension comprised of two transactional factors (contingent reward and management by exception). Similar to Burns' perspective, this research suggests that transactional leadership skills are necessary but insufficient to achieve the theoretical effects of transformational leadership (Bass, 1985; Avolio & Bass, 1985). This study suggests an additional observation in that it becomes important to note whether the charisma is primarily directed to the leader's self-oriented ends or to mission-oriented ends. Indeed, researchers point out that charismatic appeal can be destructive if coupled with personalized power needs (Hogan, Raskin, & Fazzini, 1988; Kets de Vries, 1989).

Bass (1988) identifies overlapping components of transformational leadership behavior to include: managing meaning, managing impressions, molding follower expectations, envisioning, and intellectually stimulating followers. More specifically, he notes that leaders have the ability to influence subordinates to exert themselves beyond their own expectations and self-interest. That extra effort can be inspired by the persuasive appeal of the leaders' language, symbols, images, and vision of a better state of affairs. It can be stimulated by perceived common purposes with the leader, and can be reinforced by various ritualistic institutional practices and peer pressures.

Holder (1989) proposes that four different types of transformational leaders can be identified according to the type of vision, values, and world view they hold. These four leader types are as follows: (1) those who are conservative with respect to social change and hold a vision focused on the organization with relatively low level technological innovation, (2) those who seek to create a new paradigm by creating new products or organizational forms and possess a higher social purpose, (3) those who are highly self-actualized and problem-focused, directing their energies to social innovation, and who can be world-level mentors, and (4) the rare individuals who create a revolutionary transformation and create a perennial philosophy.

Some researchers (e.g., House & Singh, 1987) argue that what in fact distinguishes charismatic or transformational leaders in terms of psychological characteristics and behavior remains to be established. Although they consider the concepts plausible, they hold the belief that empirical evidence does not support a clear distinction between charismatic and transformational leaders.

It appears this perspective is shared by at least two other researchers in the field. Behling and McFillen (1996) report on their findings in the area of what they refer to as charismatic/ transformational leadership. They consider that an understanding of this leadership style would be more effective if two problems were solved: that of (a) development of a clearly stated and generally accepted paradigm and (b) development of validated and widely accepted measures of constructs that would allow researchers to empirically test key theories about charismatic/transformational leadership. Accordingly, they identify their model that reportedly captures common threads running through important works on charismatic leadership, operationalizes key constructs in that model, and offers testable hypotheses regarding the relationships between those contructs. The core of their model contains the two variables of attributes of leader behavior and follower beliefs. Behling and McFillen found that leader behavior characterized by six attributes generates or strengthens three key follower beliefs. More specifically, they assert that inspiration flows from leader behavior that displays empathy and dramatizes the mission; awe from leader behavior that projects self-confidence and enhances the leader's image; and empowerment from leader behavior that assures followers of their competency and provides opportunities for followers to experience success. They additionally have designed a set of instruments that measures their identified key attributes of charismatic/ transformational leader behavior and subordinate response.

Participative Leadership Style

A leadership style may be referred to as the characteristic manner in which a leader exercises power and influence over followers (Ansari, 1986). It is noted that power is not the same as leadership, but often is seen as a feature of it (Hollander & Offermann, 1990; Maccoby, 1982; Zaleznik & Kets de Vries, 1975). A variety of explanations have been adopted by researchers to establish what makes a leader effective. Some investigators emphasize decision-making (Vroom & Yetton, 1973), others focus on the motivational orientations of a leader (Fiedler, 1967), while still others stress the leader's interactions with subordinates (Behling & McFillen, 1996; Likert, 1967). Though these appear divergent in approach, they emphasize the interactional component inherent in communication.

Generally speaking, literature on the topic of leader effectiveness suggests a growing preference for a democratic style of leadership (Ansari, 1986). This democratic or people-oriented style is considered conducive to greater satisfaction and commitment among the members of organizations, and to be most suitable in the long run for organizational productivity (Burke, 1986). The ability to develop relationships and work collectively is considered by some (Adler, 1997) as essential to an organization's survival into the 21st century. This preference was first indicated early on in leadership research (Lewin, Lippitt, & White, 1939), and more recently has appeared as fundamental to the concept of empowerment in leadership (Bolin, 1989) which is based on dialogue and cooperative, democratic leadership principles. A number of labels have been applied to this democratic style including high on consideration (Fleishman & Harris, 1962), high LPC (Fiedler, 1967), GII (Vroom & Yetton, 1973), model II (Argyris, 1976), 1,9 style (Blake & Mouton, 1964), inclusive (Adler, 1997), and participative (Likert, 1967).

The term *participative* is most descriptive of this democratic climate of leadership with greater follower involvement and it appears prevalent in the literature (e.g., Ansari, 1986; Hollander & Offermann, 1990; Likert, 1967). Participative leadership is trans-cultural, and is considered to require the organization to have passed through a phase of preparation such that the members understand and accept the structure and goals of the organization, and thereby develop a fair amount of commitment to the organization (Ansari, 1986). It is after these criteria are fulfilled that followers are considered to have reached a reasonable level of maturity sufficient to assume the greater responsibility of participating in the reciprocal influence process between a leader and followers.

A fundamental value of participative leadership for the leader is that it is considered to be integral to offsetting psychological forces that can create a multitude of problems for CEOs (Kets de Vries, 1989). Succession to the top leadership position in an organization is necessarily isolating in that it separates leaders from followers (who now directly report to them) and leaves the CEO without peers. Kets de Vries considers that understanding the psychodynamics of leadership lends the realization that the CEO's own normal dependency needs for contact, support, and reassurance may become overwhelming. As well, the pressure from the conscious or unconscious expectation by followers that their organization's leader is gifted and perhaps infallible contributes more psychological pressure. What differentiates those CEOs who "crash" from those who don't, according to Kets de Vries, is the latter's ability to stay in touch with reality and take these psychological forces in stride. He considers that these CEOs are more accessible, interactive, and open to change. A participative leadership style ensures more contact with others in the organization, and the probability of more contact with others who become part of a support network.

Specific Phenomena of Leaders

Consistent and compelling evidence supports the common sense view that individual chief executive officers have substantial impact on corporate performance (Hogan et al., 1994; Thomas, 1988).

It is appropriate, then, that studies examine the phenomena of individual leaders in an attempt to better understand different facets of their leadership. An exhaustive review is beyond the scope of this summary; however, an overview of these research findings are highlighted under the headings of tasks, roles, behaviors, attitudes, and characteristics.

Tasks

Sooklal (1991) cites the following as prescriptive leadership tasks that are important for guiding the company to the stage of vision fulfillment: instill a feeling of hope wihin the corporate body, create a willingness to follow, develop a focused sense of corporate purpose, use this sense of purpose to address environmental needs, and use resources acquired from the environment to develop and challenge the competence of people within the corporate body.

King (1988) identifies essential effective leadership tasks as a composite of motivating individuals towards a particular organizational goal, being an agent of productive and positive change, having a style consistent with the needs of the situation, possessing an uncompromising commitment to customer or client satisfaction, and embracing risk as a necessary component of change.

Kouzes (1989) determines in a study of personal best leadership experiences that the word 'love' is used freely by many leaders when talking about their own motivations to lead. He posits that three important tasks face leaders who wish to avoid corporate isolation by establishing trust and collaboration in organizations. First, the leader needs to establish a sensitive and compassionate connection and communication with followers. Kouzes considers this to be more of an investment of time rather than a complex act. Additionally, the leaders need to discover more about themselves and become able to confront self-doubt, and glean learning from situations of disappointment and defeat. The final task is to treat constituents, for example employees, vendors, customers, and stockholders, all as clients and give them the benefit of the leader's experience and expertise.

Utilizing the results of a large survey, Serpa (1991) reports that the most important task for chief executive officers is to surround themselves with good people and build effective teams. Interpersonal competition should not be fostered; rather, CEOs should model supporting others' efforts and stress internal cooperation.

Altier (1992) presents that it is critically important that leaders recognize when they require a coach to help maximize their own perspective, objectivity, and creativity. Altier considers that others rarely know more about an issue that the CEO is faced with resolving; however, the need is not for other opinions but rather for the CEOs to supplement their own thinking about the issue as completely and objectively as possible with the assistance of a coach.

Roles

The most famous research study of CEOs was conducted by Mintzberg (1973) wherein a sample of five CEOs from medium to large companies were each observed for one week. They appeared to work at an unrelenting pace and the work activity was characterized by brevity, variety, and fragmentation. After analysing the content of the CEOs work, Mintzberg defines ten working roles and groups them into three categories. These are as follows: (1) interpersonal roles - figurehead, liaison, and leader; (2) information roles - monitor, disseminator, and spokesman; and (3) decisional roles - entrepreneur, disturbance handler, resource allocator, and negotiator.

Beggs and Doolittle (1988) investigate the findings of Mintzberg by gathering data on the perceptions held by CEOs, rather than basing their study on a researcher's perceptions of CEOs through observation. A larger sample of 92 CEOs ranked the importance of the work roles as defined by Mintzberg. Generally, the three most important roles perceived by the CEOs were those of leader, entrepreneur, and spokesman, and the least important role was that of figurehead. The degree of importance ascribed to Mintzberg's work roles was diverse and did not provide a clear understanding of the nature of executive work.

Javidan and Dastmalchian (1993) offer five roles for senior executives, and their study indicates that these roles reflect the perceptions of subordinates about the leadership roles their superiors use. These roles are as follows: (1) the mobilizer role that reflects such aspects as employee empowerment, development and recognition, as well as concern for employees; (2) the ambassador role that pertains to a global view of the organization, competence, and knowledge of the corporation's history, products, and politics; (3) the driver role reflects personal attributes such as ambition and energy level; (4) the servant role encompasses aspects such as willingness to make personal sacrifices; and (5) the auditor role that pertains to high expectations, keeping informed, and respect for rules. Javidan and Dastmalchian additionally report that higher level executives in the private sector tend to be rated more favorably on the roles of mobilizer and ambassador, suggesting that private sector leaders are more accomplished at managing relationships with both internal and external stakeholders than public sector leaders.

Senge (1990) considers the roles of a leader of a learning organization to be focused on creative and generative learning, and to be distinct from those of a charismatic decision maker. Leaders of learning organizations are responsible for building organizations where people are continually expanding their capabilities to shape their future. These leaders are: (1) designers of governing concepts, policies, and learning processes; (2) teachers helping others be generative and less reactive; and (3) stewards who serve the people they lead as well as the larger mission underlying the corporation.

Behaviors

Aburdene (1990) identifies behaviors that are important for CEOs facing the future in light of global trends. These behaviors are: creating a clear and dynamic corporate vision, attaining at least a beginner's level of competence in a foreign language, communicating effectively through public speaking, ensuring a corporate sponsorship of the arts exists rather than one of sports, winning commitment to corporate goals by helping followers achieve their own goals, being attuned to environmental concerns, and cultivating cross-cultural skills to lead a diversified work force at home.

In response to the question of what it is that leaders do, Yukl, Wall, and Lepsinger (1990) propose a broad taxonomy of leadership behaviors and identify 14 categories including planning and organizing, problem solving, clarifying, informing, monitoring, motivating, consulting, recognizing, supporting, managing conflict and team building, networking, delegating, developing and mentoring, and rewarding. The relative importance of these behaviors differ among organizations.

Kouzes and Posner (1987) consider that exemplary leaders share five behavioral practices: (1) challenging the status quo, which requires them to search for opportunities, and to experiment and take risks; (2) inspiring a shared vision, which requires them to envision the future and enlist the support of others, (3) enabling others to act, which requires them to foster collaboration and strengthen others, (4) modelling the way, which requires them to be clear about values and beliefs, set an example, and create opportunities for small wins, and (5) encouraging the heart, which requires a commitment to recognize contributions and celebrate accomplishments.

Echoing some of the above-noted concepts, Stephan and Pace (1991) postulate there are five keys to leadership: (1) treat others as friends, utilizing all aspects of the meaning of friendship in this behavior, (2) create a positive force through strong commitment to the task at hand, and compassion and encouragement for followers, (3) invite others to follow by creating an attractive vision and continually motivate others, (4) empower followers to act, and (5) strengthen yourself by mastering principles of regeneration and self-renewel.

Bennis (1991) considers that it is important for CEOs to avoid insulating and isolating themselves with followers too much like themselves. They must remain inquisitive and committed to challenging themselves, and be open to change. Bennis (1989) additionally presents the following behaviors as characteristic of true leadership: communicating an extraordinary focus of commitment (managing attention), making your dreams apparent and uniting followers behind the dreams (managing meaning), exhibiting constancy (managing trust), and knowing your skills and applying them effectively (managing oneself).

Senge (1990) identifies five disciplines that are key to building organizations that are able to learn and sustain a competitive advantage. The leaders should be committed to personal mastery, a shared vision (a common sense of purpose to all the activities the company carries out), keeping mental models fresh (the deep seated internal images of how the world or the company works), team learning, and the fifth discipline of systems thinking. These necessary behaviors and commitments are required not only by the leader but also must be echoed by others throughout the company.

Attitudes

Judge, Boudreau, and Bretz (1994) are apparently the first to consider the simultaneous relevance of attitudes about job satisfaction, life satisfaction, job stress, and work-family conflict. Their research is focused on male executives. Findings indicate that the relationship between job stress and job satisfaction is reciprocal, and that affective states spill over onto judgments of job satisfaction. As well, the effect of job satisfaction on life satisfaction is significantly stronger than life satisfaction on job satisfaction, which lends credence to evidence that CEOs have demonstrated an unusual commitment to their work and they spend considerably more time at work than at leisure or familial activities; thus the satisfaction they derive from their jobs has a strong impact on the happiness they find in their lives in general. The researchers find that conflict between work → family significantly influences job stress. Perhaps surprisingly, they also find that conflict between family → work has little effect on job satisfaction. Several reasons to account for this might be that the degree to which family life interferes with the job is not relevant to job satisfaction, or that these leaders tend to have stay-at-home spouses or other support to manage the responsibilities of family life, or these male executives have freedom to adjust their schedules to accomodate family.

Characteristics

A report from the executive search firm Korn/Ferry International and Columbia University's School of Business (cited in Sashkin, 1990) defines the characteristics of the CEOs who will best grapple with the business problems of the next century. The study, *21st Century Report: Reinventing the CEO*, required questioning 1,500 leading business people in 20 countries. Interviewed subjects say that future CEOs must inspire managers to implement an optimistic corporate vision. Thus the CEO must be the ultimate communicator who is equally comfortable expressing corporate goals to all stakeholders, especially employees. The respondents also emphasize they will have to stress ethics and personally be above reproach. Other important characteristics include creativity, enthusiasm, open-mindedness, and intelligence from extensive and diverse experience.

The Korn/Ferry-Columbia respondents also identified characteristics the CEOs can do without. They do not need to be tough, dignified, or conservative, and a personable nature is unnecessary while excess patience can be a liability.

Bennis (1991) identifies personal qualities that he considers are required by the leadership challenges faced by today's leaders: integrity, dedication, openness, and creativity. He considers that the task of managing complexity is paramount and requires the maturity and strength of these identified personal characteristics. Bennis (1989b) counsels that successful CEOs learn more from their experiences and learn early in their careers to be comfortable with ambiguity. Additionally, he suggests that leaders share five characteristics: they have a clear vision; they feel passionate about their work; they have integrity which is expressed through self-knowledge, candor, and maturity; they have earned the trust of co-workers and followers; and they have curiosity and daring (1989a).

The general characteristics that Jaques (1991) postulates as necessary for requisite leadership are: important insights and wisdom about people and things; a level of cognitive complexity appropriate to the circumstance; an absence of abnormal temperamental or emotional characteristics that disrupt the ability to work with others; the appropriate knowledge and skills, in addition to experienced practice; and a strong sense of value for the particular work and leadership of others.

Subordinates are in a unique position to judge leadership effectiveness and, according to Hogan et al., the leadership characteristics they consider most important are a leader's credibility and trustworthiness (1994).

After investigating the backgrounds of 801 CEOs, Boone and Johnson (1980) conclude that there is no stereotypic personal background due to the great amount of diversity within their sample. Beggs and Doolittle (1988) arrive at the similar conclusion that a great amount of diversity exists in the backgrounds of CEOs. While acknowledging the existence of a large variance among their sample of CEOs, the researchers use means to provide a representative description of age as a personal characteristic of a typical CEO. He is 54 years old, entered the workforce at 21, was first employed by the company at 35, attained CEO status at 45, decided to become CEO at 32, and set out to acquire CEO skills at 30. Moreover, the average CEO had been in office for ten years, needs 12 years to develop the necessary skills, expects to remain in office for an additional nine years, and has 17 years of formal education.

In a study investigating how top Canadian corporations use the tools of executive development to influence the future of their organizations, Larson and Mingie (1995) emphasize that an important characteristic of leaders is to have a clear understanding of the need for their own growth and development. Additionally, the researchers identify motivation, compassion, and inspiration as key characteristics of successful leaders. Indeed, one respondent noted that leadership involved "the soft stuff and the hard stuff. And the soft stuff is harder than the hard stuff" (p. 6).

In an examination of empirical evidence relating to the concept of superior executive leadership, Javidan (1991) consolidates personal leadership attributes. Superior leaders have a strong self-image and drive, showing themselves to be realistically self-confident and ambitious for themselves and their organizations. They are knowledgeable and personally experienced, in addition to possessing solid knowledge about their organization and key individuals within it. They are committed to their work and have high energy levels. Finally, these successful leaders have a strong belief in the capability of their followers, and demonstrate genuine sensitivity to their followers.

A study examining predictors of executive career success provides information related to both objective and subjective executive characteristics (Judge, Cable, Boudreau, & Bretz, 1995). Judge et al. distinguish between objective elements of career success such as pay and ascendancy, and subjective elements of career success such as job satisfaction (appraisal of current job experience) and career satisfaction (appraisal of overall aspect of career). They determine that executives who display a desire to get ahead (motivation) and develop their human capital (through education level, and quality and type of degree) are more likely to achieve objective success such as higher pay and top corporate positions. This objective success is also related to increased career satisfaction. Interestingly, they find that organizational characteristics are more important to executive judgments of job satisfaction.

Research on emergent leadership identifies the personality characteristics associated with someone being perceived as leaderlike when there is only limited information about that person's performance. A "big-five model" of personality structure is endorsed by many modern personality psychologists such as Goldberg, Hogan, McCrea and Costa, and Passini and Norman (cited in Hogan et al., 1994). These five characteristic dimensions are identified as surgency (sociable, gregarious, assertive), emotional stability (calm, steady, self-confident), conscientiousness (hard working, organized, responsible), agreeableness (sympathetic, cooperative, warm), and intellectance (imaginative, cultured, curious). Studies of personality and leadership reach the conclusion that high scores on these dimensions indicate characteristics of leaders (Hogan et al., 1994).

A recent study (Adler, 1997) examines leader characteristics that will help companies succeed in the 21st century, and concludes that they are possessed by women who have been national leaders or CEOs of large corporations. Adler reports that these individuals have a vision of their company that reaches beyond economic goals, which is important because an integration of corporate and societal goals will become more prevalent as governments are less able to meet the needs of their people and their business communities. As well, they excel at developing relationships and working collectively, which is also critical as organizations flatten structurally and spread out geographically because individuals with this style can adapt to new organizational needs. She notes that these individuals earn their position, rather than inherit the business or political power. Adler considers that women have inadvertently become prototypes of a career pattern that will be required more broadly among leaders in the future.

Much research focuses on what leaders can do for organizations, rather than how the leadership process assists in the personal development of leaders. Sooklal (1991) suggests that both processes are connected: the growth and maturation of the leader is closely integrated with leadership action. The researcher identifies the following characteristics as fundamental for a leader to benefit from the opportunity for growth and development: the courage to make value-based choices, which is learned through the quality of education; an emphasis on networking, which will emphasize important temperament and personal skills; and perception of the role of leader as a process of becoming, rather than an arrived-at state.

Sooklal's (1991) focus on the growth and maturation of individual leaders echoes a theory of human development (Maslow, 1954) that emphasizes each person's innate need for self-actualization, which is the full development of potentialities. Sooklal identified the leader characteristics of making value-based choices, emphasizing relationships, and considering leadership as a process of becoming, as important for the personal growth and development of leaders. This is consistent with the higher level needs identified by Maslow. In brief, according to Maslow, self-actualization needs can be expressed or satisfied only after 'lower order' needs, such as safety, love, food, and shelter, have been met. When people are fed, clothed, sheltered, established in a group, and reasonably confident of their abilities, they experience an inner drive to attempt the full development of their potential, or self-actualization. Maslow believed that the need for self-actualization was no less important or basic to human nature than lower-level needs. 'What a man can be, he must be.' In a sense, the need for self-actualization can never be entirely satisfied and involves striving toward greater understanding of ourselves and the world.

Further, Maslow found that self-actualized people tended to be older; indeed, most of the fully self-actualized people were over sixty. They had satisfied their lower-level needs, and now were motivated by values that reached beyond their own personal needs. They tended to be more creative, self-sufficient, and free of cultural stereotypes and limitations than others. As well, most had formed close relationships with a few friends and were open to others, but they frequently needed privacy and solitude (Maslow, 1968).

Summary

Leadership research and theory have enjoyed a sustained interest among researchers, and we see the field of leadership as having been significantly advanced through an extensive number of studies. New theories and new insights have emerged which provide productive direction for future researchers.

Earlier research that focused on individual traits or behaviors when developing theories about leadership did not take into consideration its integrative aspects. Contingency models consider leader qualities and situational demands as factors interacting to make leader qualities variously appropriate, and transactional models emphasize the implicit social exchange between leaders and followers. More recently charismatic and, particularly, transformational models explore the value-based interaction between leader and followers, and appear to offer a better quality of involvement in life for both leaders and followers.

Participative leadership is most descriptive of a democratic climate or people-oriented style, and appears to benefit organizations from a consideration of both the leader and followers. It requires from the followers a reasonable level of maturity sufficient to assume the greater responsibility of participating in the reciprocal influence process with a leader. As well, the interactions necessitated by this style helps the leader offset the isolating psychological forces associated with the top position in an organization.

A number of studies have examined the individual phenomena of leaders, such as their tasks, roles, behaviors, attitudes, and characteristics. Because it has been established that individual CEOs have a considerable impact on their corporations it stands to reason that the more known about leaders as individuals, the better understood will be different facets of their leadership.

CHAPTER THREE

Methodology

Introduction

The term grounded theory was originally used to refer to theory that is generated in the course of close inspection and analysis of qualitative data, and has since become associated with the specific data analysis strategies formulated by its developers, Glaser and Strauss (1967). In other words, grounded theory is a term used to describe both a product of research and the method used to arrive at the product (Henwood & Pidgeon, 1992).

The techniques advocated for handling data for this type of inquiry draw upon the naturalistic inquiry approach (Lincoln & Guba, 1985). This approach can be described by a number of characteristics. These include the importance of viewing the meaning of experience and behavior in context and in its full complexity, the representation of reality through the eyes of participants, an emphasis upon description rather than explanation, and the use of qualitative methodologies for research (Henwood & Pidgeon, 1992).

Grounded theory is a variant of qualitative research (Rennie, Phillips, & Quartaro, 1988; Strauss & Corbin, 1990). Qualitative research is a systematic, subjective approach which is used to describe life experiences and give meaning to them. Quantitative research is a formal, objective, systematic process which is used to describe, test relationships, and examine cause and effect relationships (Beck, 1990). Both qualitative and traditional quantitative approaches to research share a common concern with theory as the goal of research; it is the relationship between theory and research process that differs. Generally speaking, more traditional research approaches use information for theory verification while qualitative methods emphasize the generation of theory (Rennie et al., 1988). Instead of using empirical research for the testing of prior theory, the emphasis in qualitative tradition is to move from data towards theory. In this manner qualitative approaches are distinct because they perceive meaning as variable and renegotiable in relation to context of use, the uniqueness and particularity of human experience is respected, and externally imposed 'objective' systems of meaning are replaced by internally structured subjectivities (Henwood & Pidgeon, 1992).

Grounded theory is a technique developed primarily for use in field studies involving either participant observation or unstructured interviewing. This method is essentially a "bottom-up" approach to the conceptual analysis of unstructured or semi-structured qualitative data (Pidgeon, Turner, & Blockley, 1991). It was specifically developed as a method for systematic discovery of the theory from the data without presupposition of any particular constructs or hypotheses (Glaser & Strauss, 1967) and a process that will generate useful, data-based theories. This approach emphasises the examination and cataloguing of data as the first stage of developing rich conceptual models that accurately describe, and are therefore firmly "grounded" in, data (Glaser, 1978; Pidgeon et al., 1991; Strauss & Corbin, 1990). Grounded theory guides the researcher as she interacts in a recursive way with the emerging phenomenon being studied in order to produce a rigorous theory that fits the data, makes sense, is relevant to both participants and researchers, and can accomodate new information (Glaser, 1978).

In the balance of this chapter the rationale for the selection of grounded theory as a research methodology is presented, which is followed by an overview of the grounded theory method including a discussion of the criteria for trustworthiness. Finally, the implementation of the present study is provided.

Rationale for the Selection of Grounded Theory Methodology

Mishler (1979) cautions that traditional methods of research can tempt researchers to restrict the focus of their interest and can lead to a situation where methods of research determine the area to be investigated, rather than the obverse. Indeed, the research approach for any particular area of inquiry "should be selectively and appropriately used according to the nature of the problem and what is known about the phenomena to be studied" (Field & Morse, 1985, p. 12).

The research interest in the present study is identified as a desire to understand more about participative chief executive officers and how they come to use a participative style of leadership. The aim is to "discover" a theory to describe the process of assuming a participative style of leadership through an exploration of these individuals' important life experiences. As the present study involves interest in the view of the research participant, and has as one of its purposes a description of a phenomenon about which no known theory exists, a qualitative approach is selected as the most appropriate method of research.

Grounded theory methodology is additionally selected because of its unique contribution of allowing a researcher to gather data about a phenomenon of interest and facilitating the development of theory which is solidly "grounded in" the researcher's data (Quartaro, 1986). Quartaro additionally delineates the specific advantages of the grounded theory methodology:

> The researcher can study the phenomenon as it occurs in the real world, can use those who participate in or experience the phenomenon as informants, can gather data from a variety of sources and can mix sources, if that is consistent with the nature of the phenomenon. In addition, the researcher need not exhume or extend some inadequate extant theory in order to justify the testing of hypotheses which may be only tangentially related to the researcher's real focus. Instead, the researcher can start from the position of one who wishes to learn about something that is not well understood. (p. 7)

Overview of the Grounded Theory Method

As previously noted, grounded theory is a qualitative research approach that was developed by two sociologists, Glaser and Strauss (1967). Their work provided a systematic and comprehensive technique for researchers, and their concepts remain fundamental to the ongoing development of grounded theory research (Glaser, 1978; Glaser & Strauss, 1967; Strauss & Corbin, 1990). While Glaser and Strauss have outlined the general approach, their desire to leave the researcher with maximum flexibility (Glaser, 1978) has left somewhat of a procedural vagueness. This has resulted in different descriptions of the specific research steps, as well as different emphases on the available techniques (Chenitz & Swanson, 1986; Quartaro, 1986).

The primary goal of this research method is to generate theory about social and psychological phenomena (Glaser, 1978). It emphasizes discovery through the identification of an area of study, and systematic collection and analysis of data in order that a relevant theory grounded in the data emerges (Strauss & Corbin, 1990). Glaser and Strauss (1967) identify two types of theory: substantive and formal theory. Strauss and Corbin (1990) explain that substantive theory evolves from the study of a phenomenon situated in one particular situation context, while a formal theory emerges from a study of a phenomenon examined under many different types of situations. They caution that a researcher cannot suggest a wider applicability of a substantive theory unless other situations have also been studied.

A main objective of this research method is to develop the core category or categories central to the phenomena under study. A core category is central to the theory, is variable, and may be a basic social process (BSP) that involves some change occurring over time (Chenitz & Swanson, 1986).

Grounded theory has expanded its usefulness as a research method beyond the field of sociology, within which it was initially developed. Documentation of its applicability exists in other areas of human science including psychology (Henwood & Pidgeon, 1992; Quartaro, 1986; Rennie et al., 1988), knowledge engineering (Pidgeon et al., 1991), education (Bogdan & Biklen, 1982), and nursing (Chenitz & Swanson, 1986; Field & Morse, 1985).

Theoretical Context

Grounded theory is rooted in the concepts of symbolic interactionism which focuses upon the inner or experiential aspects of human behavior (Chenitz & Swanson, 1986). Blumer (1969) elaborated the premise that it is through people's behavior in accordance with their beliefs and view of reality, in conjunction with how people define and attribute meaning to natural and everyday events, that individuals come to define their "world" and thereby create and symbolize meaning for themselves.

In light of this premise, grounded theorists undertake research that emphasizes understanding reality from the research participants' perspective. They attempt to discover the participants' experience and understanding within a particular situation or phenomenon.

Theoretical Sampling

Theoretical sampling is the primary strategy used in the task of data collection. In grounded theory research the sample is selected based on its ability to adequately represent the phenomenon under study. Quartaro (1986) notes that the initial generation of categories and identification of important features of the phenomenon is facilitated by the selection of data sources which clearly exemplify the phenomenon under investigation and which are highly similar. Data analysis and data collection proceed simulataneously, with new data sources being sought in order to clarify the emerging theory. Rennie et al. (1988) note that theoretical sampling is a flexible approach to data acquisition, and that the new data sources make possible a more detailed description of the conditions and limitations of the unfolding theory.

As the data analysis proceeds, it becomes apparent that certain categories of data are "saturated" with information (Henwood & Pidgeon, 1992). That is, subsequent data provides no new or useful information about the category. Saturation occurs gradually throughout the analysis, with peripheral categories saturating first and the more central categories following (Quartaro, 1986). Theoretical sampling ceases with saturation, and it is estimated that saturation typically occurs during the analysis of between five to ten protocols (Glaser & Strauss, 1967).

The Constant Comparative Method of Analysis

This is the fundamental method of data analysis whereby the gathering of data and the data analysis, through constant comparisons, occurs in concurrent fashion and leads to eventual theory formation. Using this method the researcher works systematically through the basic data transcripts generating labels or codes to describe both low-level concepts and the more abstract features deemed relevant (Henwood & Pidgeon, 1992). This initial analysis involves "substantive" coding, which reflects the substance of the participants' information. These codes often contain the exact words of the informant and serve to prevent the use of preconceived codes or impressions the researcher may possess (Chenitz & Swanson, 1986).

In the early stage of analysis, the researcher has maximum flexibility in generating new codes and categories from the data. Henwood and Pidgeon (1992) note that this method is a creative process which taxes the interpretive abilities of the researcher who must be sufficiently disciplined to ensure that low-level descriptions fit the data. They caution that "success in generating good grounded theory which is faithful to the data depends upon maintaining a balance between full use of the researcher's intellect and this requirement of fit" (p. 103).

Subsequent levels of coding function to cluster and then to categorize similar codings. Open coding allows a particular unit of analysis to be placed in as many categories as possible (Glaser, 1978). As more data are collected, more categories emerge. Patterns become evident as relationships between categories are recognized. The analysis proceeds to include theoretical codes which assist to explain the relationships between the descriptive categories (Rennie et al., 1988).

As analysis proceeds, new data sources are sought that introduce greater variability to the phenomenon (Quartaro, 1986). A core category gradually emerges as the most central category which is the best description of the phenomenon and the most overarching between the other relationships (Chenitz & Swanson, 1986).

Through constant comparative analysis, the researcher has been alert to the similarities and differences between instances and concepts, thus ensuring that the full diversity and complexity of the data is explored (Henwood & Pidgeon, 1992).

Memoing

As the investigator proceeds through the research process, ideas occur about the data, the categories and the theory. The systematic writing of memos that record all of the observations during the course of analysis is an integral aspect of the grounded approach (Henwood & Pidgeon, 1992). Memos help the researcher achieve insight into developing assumptions, raise the conceptual level of the research, allow for premature ideas to be preserved, and accomodate speculation about data or categories' properties and relationships (Rennie et al., 1988). Additionally, memo writing provides an "audit trail" (Lincoln & Guba, 1985) that provides a means of tracing the investigator's evolving conceptual thinking, for herself or other researchers. Accordingly, memoing serves an important function, along with theoretical sampling and constant comparative analysis, that helps the researcher develop a "conceptually rich understanding and systematic integration" of the data into a coherent theory (Henwood & Pidgeon, 1992).

Criteria for Evaluating Qualitative Research

Henwood and Pidgeon (1992) noted that "a researcher's confidence in the account is a necessary condition, but not a sufficient one, for evaluating the adequacy of the emergent theory" (p. 104). An important issue is the criterion for evaluating research undertaken within the naturalistic paradigm. Terms like validity and reliability that are commonly associated with the conventional paradigm of quantitative research do not fit that of naturalistic studies. Other criteria that use a more appropriate language must be utilized in the evaluation of alternative methodologies. Trustworthiness and, more recently, utility are important criteria for judging qualitative research.

Trustworthiness

Evaluative criteria parallel to those used in conventional methodologies have been developed with a focus on general qualitative studies (Lincoln & Gruba, 1985; Miles & Huberman, 1984). These researchers present the criterion of "trustworthiness" as a means of systematically evaluating qualitative methods. The concept of trustworthiness includes credibility, transferability, dependablility, and confirmability.

Credibility. The term credibility relates to the conventional criterion of internal validity, and refers to the accuracy that the research findings have regarding the determination and reflection of the reality of the participants to the research (Field & Morse, 1985).

According to Rennie et al. (1988), two important threats to a study's credibility relate to subjectivity and verbal reports used as data. With regard to subjectivity, they note that a grounded theory is credible when it is persuasive. This quality of persuasiveness is based on clear documentation of the inferencing process in building the theory and categorizing the data. Rennie et al. acknowledge that it is difficult and perhaps also undesirable for the grounded researcher to attempt to be totally objective during the research process. In the present study the researcher attempted to identify the biases and assumptions that she brought to the study by memoing them. This "bracketing" of subjective impressions prior to and during the data collection and analysis served to make them explicit, and thereby reduce their threat to the credibility of the research findings. As well, this researcher elaborated on saturated categories and included representative quotes from participants in order to assure that the theory reflected their experience as much as possible.

Rennie et al. (1988) discuss the challenge of verbal reports as data to the credibility of a study. The possibility exists that the participants are unaware of deep-seated internal processes, they mislead the investigator, or omit critical information. They point out that the "truth value" of an individual report is impossible to evaluate but the use of the constant comparative method for theory distillation increases a study's credibility. In the present study the researcher attempted to minimize this threat to credibility by having the participants review the transcripts of their interviews for accuracy, and offering the opportunity for a second interview for the purposes of data clarification and elaboration. The constant comparative method of data collection and analysis was used and substantive interviews that focused on gaining rich data reflective of their experiences also combined to provide additional expectation of credibility.

Transferability. The term transferability is a parallel concept to the conventional criterion of external validity or generalizability and refers to the applicability of the results of one study to a different context. As previously noted, grounded theory utilizes theoretical sampling to choose a limited number of highly similar participants to highlight a phenomenon for theory formulation. This research procedure is in direct contrast to the concept of generalizability which is dependent upon random sampling. The ability to generalize results may be extended by systematic comparisons of contrasting groups, although extensive comparisons are rarely undertaken due to the immense amount of work involved in such an effort (Rennie et al., 1988). These researchers make explicit that grounded theorists seek intimacy with the phenomena rather than evidence for transferability. The development of substantive theory, as in the present study, has as its purpose creating new theory directly tied to the reality of the participants. While some degree of transferability of the findings might result from the quality of the theory generated, the responsibility for verification of same lies with subsequent investigators.

Dependability. The term dependability is identified as an alternative to the conventional criterion of reliability or replicability. Chenitz and Swanson (1986) point out that because no two researchers are alike, and by extension there will of necessity be some difference in their precise research processes, then no two analyses will be exactly alike. However, Lincoln and Guba (1985) suggest that the "audit trail", achieved by memoing a clear record of the research and decision-making process, will enable future investigators to systematically replicate the research plan and should act as the criterion for dependablity. In this manner similar research findings, but not an exact replication, would likely be achieved. Additionally, this researcher requested that another researcher utilizing, and thus familiar with, qualitative methodology review her coding procedures. This review therefore provided inter-rater dependablity.

Confirmability. The term confirmability relates to the conventional criterion of objectivity, which refers to freedom from bias both in the research process and in the research findings. The naturalistic paradigm both relies on and seeks the subjective perspectives of the participants as well as the subjective views and creative abilities of the researcher. That is, "the personal is always present in research" (Henwood & Pidgeon, 1992, p. 105). Accordingly, the grounded theorist does not claim to be free of bias but "brackets" values and assumptions by memoing them throughout the research process. The audit trail also assists in the assurance of confirmability (Lincoln & Guba, 1988).

Utility

The concept of utility as a criterion for judging qualitative research relates to the provision of useful information to a specific audience--information that must be relevant, understandable, and accurate (Patton, 1991). Criteria for judging the merit or worth of a body of research must take into account the purpose and the audience. Patton futher notes that academic researchers too often believe that their purpose and audience are universal when, in fact, they are primarily talking to each other about things of interest only to themselves, which hence encompass a limited utility.

Sandelowski (1997) distinguishes between utility that is 'instrumental' and that which is 'conceptual'. Whereas findings that are materially and measurably of practical use are a defining feature of instrumental utilization, the expansion and liberation of thought is a defining feature of conceptual utilization. The latter emphasizes the enlightenment function of knowledge, where research findings possess utility when they change the way people and events are thought about or permit sense to be made of previously incoherent events.

The need to embrace criteria for good qualitative research that is useful relative to the various interests and values of those involved in human inquiry has moved to the forefront.

Implementation of the Present Study

Participant Selection

As noted earlier, in the grounded theory method of research the selection of research participants is deliberate rather than random. This process of purposive or theoretical sampling takes into consideration an individual's personal experience and ability to adequately represent the phenomenon being investigated, as well as the ability to articulate that experience.

In the present study the following criteria were identified in order to provide focus to the area of investigation:

1. The individual was the chief executive officer of a mid-sized oil and gas company within the Canadian petroleum industry.

2. Each was identified by industry associates as a chief executive officer who utilized a participative style of leadership.

3. Each was identified as an effective leader, as determined by the company's record of consistent growth and financial success.

4. Each participant was able and willing to reflect on and articulate a description of his or her formative life experiences.

The researcher obtained names of potential research participants from a number of industry associates. When names of chief executive officers were identified repeatedly, the researcher invited those individuals to participate in the study. Comparison indicated that within the parameters of this study the mid-sized oil and gas companies employed between 100 and 390 individuals, and current production ranged between 11,000 and 36,000 barrels of oil per day, and between 20 million and 440 million cubic feet of gas per day. Criteria other than the four outlined above, such as gender or nationality, were not specified in the study. The investigator made initial contact by letter (Appendix A) and subsequently arranged either an initial meeting or set the date for interview, all of which occurred in the participants' offices. In total, eight male chief executive officers were contacted: seven participated in the study and one declined participation.

It is noted that an additional participant was involved in the study. Using the same criteria presented above, the investigator selected a chief executive officer personally known to her who subsequently agreed to participate in the study, and undertook an initial interview in March, 1995. This served the dual purpose of clarifying the focus of the interview and becoming more familiar with the coding process. The data from this interview were not included in the final results provided in this study.

Four CEOs requested to meet with the investigator to learn more about the study prior to giving their agreement to participate in the study. At the first of either the initial meeting or the time set for interview, the investigator provided full information to the participants about the study and answered all questions regarding the study. The informants were provided with an Information sheet (Appendix B) and each signed an Informed Consent sheet (Appendix C). A Demographic Data sheet (Appendix D) was used to gather personal and business demographic information. Interviews took place between April and June, 1996.

Data Collection

Data regarding the participants' subjective experiences and perceptions were obtained through interviews (Chenitz, 1986) which were conducted in an individual face-to-face format. They were audio-taped and later transcribed into computer manuscript format. The interviews lasted approximately ninety minutes each. The open-ended, semi-structured interviews (Chenitz, 1986) were conducted by the investigator and were guided by the following questions:

1. What are your personal goals?

2. What was it like for you growing up in your family?

3. How did you relate with peers as you were growing up?

4. What is the first situation you can recall where you were providing leadership of some sort?

5. Have mentors or other support provided an important force in your life?

6. Have there been significant struggles in your life? Which one stands out the most for you? How did you respond to that difficult time? Are there things you learned from that situation?

7. What is your philosophy of life?

8. How does change affect you?

9. Did you used to provide leadership differently than you do now?

10. What do you think are the essential processes and

components of the way you lead?

11. What purpose do you see for yourself as head of your company?

12. How would you describe yourself as a person?

13. Can you tell me about a critical incident where you were interactive in your style of leadership?

14. What would you do in the situation that your company had the opportunity to do a big deal in an area that was environmentally unstable? That a large deal was in the critical stage of being finalized and the individual in charge of that deal was suddenly caught in a family crisis and not performing well at work?

The questions set the context for the interviews and were intended to stimulate perceptions, insights, and recollections of experience. For the most part the investigator attempted to keep her questioning to a minimum, allowing the research participants to relate their important experience in their own way. Empathic and active listening skills were used, and clarifying or focused questions were asked as needed to ensure correct understanding of the participants' experiences (Berg, 1989; Woolsey, 1986).

Informants were each provided with a copy of their interview transcripts for their review. They were offered the opportunity to clarify, correct, or expand upon any aspect of the initial interview, either through a subsequent interview or by forwarding to the investigator any corrected notations. Four participants responded with minor written notations and second interviews were not requested.

Data Analysis

Data analysis was performed on the transcribed interviews, which included the corrections provided by participants. Data were entered into The Ethnograph (Qualis Research Associates, 1988), a computer program designed to assist in the analysis of qualitative data. Following the general steps presented earlier, the transcripts were examined line-by-line. Data were initially summarized into substantive codes that were descriptive in nature. These codes were then compared with clusters of similar codes to form categories. Coding then moved to a more theoretical level to describe the complex interrelationships between categories, with broader categories thereby being identified and subcategories subsumed under each. One core category emerged, reflecting the distinct concept conveyed by the participants.

Memos were written throughout the process, detailing the investigator's ideas about the data and the emerging theory. These memos assisted the researcher to move from the concrete and descriptive to the abstract and theoretical as the study proceeded.

Bracketing

One of the essential components of the grounded theory approach is the bracketing of personal biases and assumptions brought to the study by the researcher. Unlike traditional methods of research that attempt to remove the impact of the researcher and make her or him an objective bystander, the grounded theory method requires an acknowledgement of the researcher's subjectivity with respect to the phenomenon under investigation.

The personal biases and assumptions central to the current investigation related to the researcher's expectations about the quality of data gathered during interview. It was considered that once they had assented to becoming a research participant, the informants would be relatively comfortable talking about their personal experiences and they would have the personal and verbal skills to do a clear, thoughful, and mature job of it. More specifically, the participants were expected to be able to relate well to someone else (i.e. the investigator) given their interactive style, and expected to be seasoned and insightful communicators as a result of their demanding corporate positions. It was anticipated that interviewing the participants about their formative life experiences would be an interesting and informative task.

Concurrently, however, the researcher retained mild concern that the participants may have difficulty during interview being fully open about themselves and their personal experiences. It was considered that two factors may be present which had the potential to negatively impact their degree of openness: the investigator was a stranger, and theory exists (Tannen, 1990) contending that males are socialized to value a different communication purpose which may lead to difficulty being fully open to others.

It is noted that the participants were genuine and open in their manner of interpersonal relating with the researcher. Indeed, they appeared to enjoy the opportunity to reflect on the past and gave considerable effort to their reflections.

This researcher consulted with two colleagues, one of whom conducted grounded theory research in the past and one concurrently involved in grounded theory research. These collegial discussions were professionally and personally helpful during this research process.

Delimitations

The design of this present study necessarily dictated related research parameters. The delimitations of the study related to participants, participative leadership style, and qualitative research.

The participants in this study represent effective male chief executive officers within the Canadian petroleum industry who utilize a participative style of leadership. Accordingly, generalization of the findings to other populations may not be warranted. The results of the current study may not reflect leaders of organizations in the public sector or other industries, female CEOs, or chief executive officers who utilize other leadership styles.

By virtue of choosing to conduct her research within a qualitative framework, this examiner imposed a number of research design delimitations. The qualitative approach is discussed in detail elsewhere in this chapter. The delimitations associated with qualitative design relate to naturalistic inquiry, individual narrative as type and source of data, use of grounded theory research method, interviewing as data collection technique, constant comparison data analysis, and construction of grounded theory.

Ethical Considerations

Every effort was made to conduct this inquiry in an ethical manner. The Research and Ethics Committee of the Department of Educational Psychology of the University of Alberta reviewed the proposal of this investigation in March 1996 and found it acceptable with respect to ethical matters. Ethical issues were additionally handled in accordance with the guidelines presented by the Canadian Code of Ethics for Psychologists (1991).

All research participants were informed about the nature of the study, the potential risks and benefits, and their rights as voluntary participants. They were encouraged to ask questions at any time, and were assured that they were under no obligation to answer any question they were uncomfortable with. They were informed they were free to withdraw at any time from the study without penalty of any kind. All participants indicated their voluntary consent by signing the

Informed Consent form (Appendix C).

Participants were protected so that no identifying data linking any specific individual to the published study could be discerned. All correspondence, signed forms, audiotapes, transcripts, and notes have been safeguarded in the researcher's possession. To ensure anonymity, tapes and transcripts were coded by number rather than name. The typist was required to sign an oath of confidentiality. Compilation of this final report included the removal of all identifiable information. Following the completion of this study, all audiotapes will be erased. Copies of all transcripts will remain the property of the investigator. Informants were provided with a copy of their own transcripts following the interview.

The report of the completed study will be submitted to the University of Alberta library and subject to the normal regulations and rights regarding copyright and release of library material.

Demographics of the Participants

The seven chief executive officers who participated in the current study ranged in age from mid-forties to mid-sixties. All were caucasian Canadian males born into intact families. The socio-economic status of their families of origin varied. One town family was considered financially well off, two families lived on farms and were described as poor, indeed one was in "abject poverty", and four families grew up in towns and had small businesses which ranged in degree of success. One individual noted, and it was a sentiment echoed by the others, that money was not all-important to the viability of their family life:

> Money was not something that many people knew much about in those small towns. Same in our family, we didn't have any and we didn't know the difference.

Of the seven participants, four were the oldest child in their families. Another was separated in age with his only other sibling who was older by twenty years, thereby effectively being the eldest. One participant was the oldest son. Another participant was the youngest child in his family.

With regard to formal education, all completed secondary school. Three individuals had attained one university degree and another had attained a professional designation. Three individuals had completed a second degree.

All participants were married at the time of the study and their marriages ranged in duration from 35 years to eight months. Two were divorced, both after 17 years, and had subsequently remarried. One was widowed after a very lengthy marriage and had subsequently remarried. Six had children and one had step-children.

Two individuals were the founders of their companies, one co-founded his company, and four joined their present companies.

CHAPTER FOUR

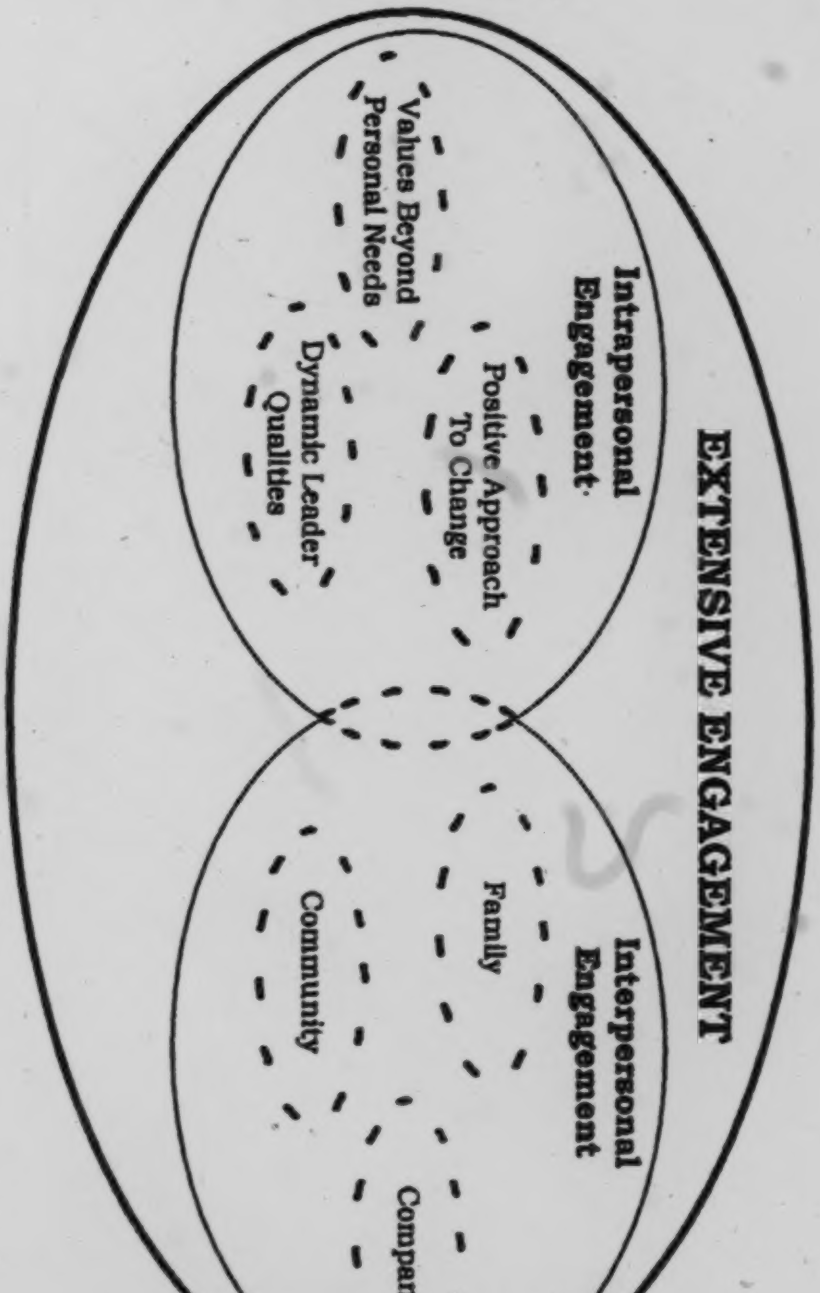
Results

Introduction

The results of the current study evolved into a theoretical model describing the extensiveness of engagement experienced by chief executive officers who use an interactive leadership style. Interestingly, the researcher anticipated that the results would focus more specifically on an aspect of leadership; rather, the results reflect an expansive theme and the participants' leadership style is now perceived as an indicator of the broad concept of engagement. This concept was arrived at in reflection of an amplified sense that the participants are fully engaged in multiple aspects of life through their inward and outward worlds, that is, both intrapersonally and interpersonally. The model, presented in Figure 1, is represented visually as an all-encompassing oval, reflecting the wholeness of the concept, within which are two interconnected ovals that reflect the intrapersonal and interpersonal aspect of the overall category of extensive engagement.

By using interconnected ovals with permeable boundaries the model emphasises the overlapping components of extensive engagement, and the manner in which absolute distinctions between the categories are blurred because of their contributions to each other. A linear conceptualization would be unable to grasp the

Figure 1. A Conceptual Model of the Extensive Engagement Experienced by CEOs


EXTENSIVE ENGAGEMENT
Intrapersonal Engagement
Values Beyond Personal Needs
Positive Approach To Change
Dynamic Leader Qualities
Interpersonal Engagement
Family
Community
Company

full concept of engagement. The model is detailed by conceptual categories, or significant themes, that are fundamental to the participants' related experiences. The subcategories of (a) values beyond personal needs, (b) positive approach to change, and (c) dynamic leader qualities are more largely understood as the category of intrapersonal indicators of engagement. The category of interpersonal indicators of engagement reflects the subcategories encompassing (a) family, (b) company, and (c) community. As such, there is an arrangement of subcategories and categories, moving from the concrete to more abstract, with the core category of 'extensive engagement' describing the central theme or concept.

The balance of this chapter will present a detailed description of the model derived from this investigation and presented as Figure 1. Frequent quotation from the interviews will be utilized in order to vividly reflect the participants' experience as related by them.

Extensive Engagement

> I believe there is an honest way . . . to improve the quality of [your own] life, the quality of life of people around you, your employees, your family, to improve the quality of life in your community. You know, I think everything stems down from that.

The seven chief executive officers participating in the current study consistently reflected an integral sense of engagement and involvement in multiple aspects of their lives, both intrapersonally and interpersonally. They recognized the extensiveness of this engagement, for example observing that, "There is a lot of overlap, there's no doubt about that." Or, similarly:

> . . . you really have to be able to interact with your family effectively as well, in order to be a wholesome person. . . . And once you've done that then bringing it to the organization is pretty simple, because you're already doing it in other parts of your life.

The participants all expressed in varied ways that their experience of extensive engagement was not achieved effortlessly and arose from deliberate prioritizing. While being consistent in the sense that all were fully involved in multiple aspects of life, they varied in the particular balances that they sought, and these balances were personally meaningful. For one of the participants with young children:

> I'd say that twenty years ago, probably career or business was most important and I'd say today that has diminished. It's not unimportant but I'd say I'm feeling that family is probably more important now than I perceived it to be back then. And community, probably, has gained in stature as well as time has gone on. So I think there is a shift in an interest in balance over the years. . . . Although I don't have a sense of time being more pressing today than it was twenty years ago. I just have a sense of, I don't know, different needs.

Another of the participants discussed the emphasis he placed on achieving a balance in his life:

> I have always tried to maintain some balance in my life, and therefore my objective is to try to make sure that I have reached that balance. And I've got seven benchmarks, if you will, or milestones . . . I'm striving for what my definition of balance is. You see lots of people have a desire to make a ton of money for their own reasons but they may do a bunch of things that may screw up their health for it, they may ignore their friends or even alienate their friends, and their family relationships may go to hell in a hand basket, and in many cases their reputation, they have not done it in perhaps an ethical way. So they may have accomplished one of those and may have screwed the other six . . . if you don't have some balance in there, then I don't consider that success.

The foregoing illustrate that the overall concept of extensive engagement involves an interconnection between the relevant categories and subcategories, and that the varying degree of the extensiveness of engagement is personally meaningful to the participants. It is possible to discuss the intrapersonal and interpersonal aspects of engagement in a more detailed manner.

Intrapersonal Engagement

The idea that individuals can be outwardly engaged within themselves may at first seem a contradiction in terms. When one considers, however, that individuals can have personal attributes that are outwardly focused in a way that involves the world around them, the concept rings true. This is the concept of intrapersonal engagement. The participants' experience of intrapersonal engagement was reflected in three themes identified as (a) values beyond personal needs, (b) positive approach to change, and (c) dynamic leader qualities.

Values beyond personal needs. The chief executive officers who participated in the study were without exception motivated by values that went beyond their own personal needs. One value given voice by each participant was the desire to improve the world around themselves in some manner. One expressed it as such:

> I would say I have a strong belief in God, so that drives a fair amount of my philosophies and principals . . . accomplish what we can to make this a better place, to leave it a better place than what we came in, and to help others. You know, improve their quality of life, their standard of living. And that's principally my philosophy of life.

Another stated this concept as:

> I guess my view of life is that I try to do the best that I can in the time that I have available and . . . there is something that I will leave that is a little better than the way I found it. . . . If I croak tomorrow, I want somebody to be able to say in the time that he was here . . . I made a difference. So it's as simple as that.

One participant was more specific in suggesting how such a positive change can be made:

> The thing that I have learned more than anything else in this world: if we are going to make it a better place, if we are going to leave a legacy, is that somehow all of us have to learn or teach

5

> each other about unconditional love . . . Everybody's lonely because they don't have it.

Another reflected his recognition of the presence of loneliness and related how he reached out to others:

> I am kind of the mentor . . . there's probably not a day goes by when I don't talk to him or listen to him, even as successful as he is. Because it's a lonely, lonesome spot and you need somebody to talk to.

The values of honesty, integrity, trust, and acting responsibly were consonant among the participants. The following quotations from diverse participants, including two stories, illustrate the shared values that extend beyond their personal needs.

> . . . honesty, integrity, you know, just respect for people. I think respect for life and, you know, I think those are probably the principles that we would try to set out for our kids.

* * *

> Because I think that's one thing that I can honestly say. That if there is one thing that has gone well, it hasn't been at the expense of others.

* * *

> Well, trust, charity . . . I'm quite short of patience for people that don't share.

* * *

> I would like to think that I am a very honest, very sincere, high principalled, very approachable individual, and I really believe in helping other people around me. And, you know, I like to think that I have a really big heart for the people around me.

* * *

Honest, integrity. I tend to work using principles . . . so I constantly compare things to these principles and circumstances to these principles. One example might be, we had an individual who left the company a while ago . . . about two weeks prior to us declaring an annual bonus for the work in 1995 that the company had done. So the guys here said that ... he doesn't get the bonus because he's gone. And I said "well now just a minute. That's not the principle of what we are talking about here. This bonus is for work that was done in that period of time, we didn't fire the individual, we'd hire him back in a minute if he ever came back, so why would you not pay that individual?" . . . So, it was the principle here of what was the bonus for, and so I was comparing the specific circumstances to that principle, and saying "No, I don't think we want to go down that road, I think we want to go down this road." So, I tend to do that a lot.

* * *

Listen, I've been a director of a company . . . that has the most unbelievable circumstances that you could ever dream of . . . you couldn't design uglier circumstances . . . and you just had to be calm. And the easy thing would be to say I'm going to resign as a director because I don't want to be part of this hassle, but probably me more than anyone told the rest of the directors that "this is the time you have to be a director. You don't normally have directors for good times, you have them for when they get a problem. And if this company's got a problem and then we're responsible for fixing it." And we fixed it. They were reluctant, they didn't want to at the beginning. But I convinced them of their responsibility and they were put there to protect the little shareholders and they damn well better do it.

The values of integrity, responsibility, honesty, trust, charity, and the desire to leave the world somehow better for their having being there are examples of personal qualities these individual CEOs possess that reach beyond their own personal needs and engage with others.

Positive approach to change. The experiences related by all participants included a pervasive personal perspective best summed as having a positive approach to change. This intrapersonal quality was yet another facet of their extensive link to a world that can be increasingly characterized by rapid change and increasing complexity. A major component of this positive approach toward change was a positive attitude, frequently recounted:

> I'm a pretty optimistic person. So therefore I'm naturally positive about the change, the result of change. I take a very proactive, sort of, role.

* * *

> It's really thinking in terms of, think of things as opportunities, think of life as opportunities not traumas.

* * *

> I think because it's invogorating intellectually, that gives you the strength to go through. Even though it's stressful, if you've got confidence to say that this is going to work out and believe it, then it usually does.

Also considered to be a positive approach to change, one participant characterized change as a natural aspect of life, and to be accepted as such:

> I don't find change troubling at all. As a matter of fact I probably don't even spend a lot of time thinking about it and I just probably go with the flow, and believe that it's a normal sort of thing.

Along a similar vein, it was the life experience of another participant that contributed to his perception of change as being integral to life's rhythm:

> And while I'm still dedicated to the corporate life, I also don't get quite as worried these days about some of the restructuring and the corporate things that go on. Because by and large free enterprise does still work . . . there's overall balance that things have a way of coming back and so I've had a chance to see that. So that's helped I guess.

Two participants spoke of the difficulty they previously had dealing with change. For one, learning from life's experience to change his mindset had positive benefit:

> I used to be very against it. I used to be set in my ways . . . as an engineer you evaluate the possibilities and you make your decision in accordance with that. In real life, certainly the last ten years of real life, maybe fifteen, have totally turned that upside down. Where change is just an ongoing thing and you have to always adjust to a changed set of circumstances . . . accepting that regardless of how well your laid out plans are, that it will never be that way. That's number one, so you sort of set the tone for being able to accept change, and then change is opportunity.

For the other, finding a personal balance and taking a proactive stance provided positive benefit:

> I think pretty much change is not too bad anymore . . . I was always more reactive than proactive, and so I would react without thinking. . . . If I didn't have the balance [now], I couldn't handle change.

Relatedly, another explained the value of proactively reducing stress in order to accommodate change, "So if you're stressed you need a relaxation. You have to, you may not realize there's stress. I've got lots of ways."

Three individuals held that a realistic appraisal of self and a tolerance of personal limitations was important to their positive approach to change, as the following illustrates:

> I think I've handled change. I was reading a Maclean's magazine here a few weeks ago on the stress levels, you know it's a change of job, a change of residence, a change of wife, death in a family, and all those things they put ratings on. Well. Hell, I've had so many of those in the last five years alone that I was over the limit by the time I got down to the fifth number and there were about 30 things listed, so I think I have handled that reasonably well. . . . but I think I give things the best possible shot and I've only got a certain number of skills and I'm not superhuman. So if I can say to myself I've done the best I could, I don't know what I would have done differently having regard for the time frame. . . . Then I get on with it. I mean I can't . . . keep looking backwards, other than to learn something.

Another major component of their positive approach to change was the proactive attitude toward change evidenced by each participant. By attempting to anticipate changes to come in diverse areas, all participants demonstrated a focus on their futures. For example, they each provided a future focus for their company:

> Part of my goals at this stage are to ensure that the company has the right vision for going forward . . . the right leadership in place, and the right business plan and strategy in place so that can continue to happen.

* * *

> Managing in today's global environment is a time of continual, I would say, stress and continual evaluation of how to change, how to do things better. Learning from your previous experiences, trying to minimize your mistakes, going forward. . . you've just got to have the right leadership, right management in place, and the right vision and strategy to keep going. You've got to be thinking not two years ahead but probably five years ahead. So I would say that that is something I have learned over the past five years. That shaping our future.

Not only was it critical that they themselves were future focused for the company , one chief executive officer discussed the importance of ensuring that others in the company were future focused and anticipatory towards change:

> I'd say that twenty years ago . . . it was mostly reactive. So that was the kind of environment that it was then. Today it's very much more forward looking, so it's a different focal point. . . . It's a critical part, making sure that everybody in this company has a clear view of where we're going. So that as they deal with all of the myriad of decisions that they've got to make day in and day out, first of all they understand the principles that we want to run our business on, and they understand the direction

> that we want to go. Because it's the only way you can ever delegate, in my view. . . . If they don't have the bigger picture and they don't understand the principles, then what you've got to have is rules. And we just can't make enough rules to deal with all the circumstances that everybody is going to come up against.

For two of the participants, their future focus involved a new future direction for themselves while fully appreciating the concurrent responsibility of ensuring that the future of their company continues:

> . . . leaving behind a strong and successful organization on a platform to grow after I leave. . . . I am working on a two and a half year plan to make that transition.

* * *

> . . . I guess when I think of the future I probably won't be doing this, oh, five years down the road or ten years down the road. Like, I have sort of, not wild thoughts, but I have plans in my mind that I wanted to do other things that probably involve international things. . . . I don't know, I haven't formulated those plans yet but I've wanted to make sure that things are right here, and then go on to that next big step.

Another proactive approach to change was evident in one participant's stated desire to move through the aging process as positively as was within his control, "I have got a goal of trying to attain and sustain a level of health that allows me to have an effective and a quality life." Indeed, his future focus broadly included the next generation of his family, ". . . we'd like to impart some of those family traditions, and family strengths and relationships maybe to the next generation."

As discussed earlier, the core concept of extensive engagement has an interconnected quality to it: it encompasses multiple aspects of an individual's life. This chief executive officer's following appraisal clearly reflects a positive approach to change that is engaged with many aspects of his life:

> . . . so to help people manage some of these changes. . . . This is a time of big change. Kids today, my life was not so critical. Kids today have a lot more pressure, other issues like a lot more pressure to succeed, a lot more pressures on the family. What we say is the family is undergoing change. In business we're going through massive change because of these issues. You know, the country is going through quite a bit of change too because of nationalism, because of Quebec, different economics. All of these things. And so, change is inevitable. And so it seems to me that it's important, that we have a particular responsibility, I think, because we can provide some assistance through certain institutions in terms of navigating our way through these changes. A lot of people have reaped a lot of benefit the last twenty or thirty years, and so they've got to assist in all kinds of ways.

Dynamic leader qualities. Through their related experiences, the participant chief executive officers expressed personal ways of being within which dynamic leader qualities were evident. Descriptions of leadership qualities abound in the relevant professional literature and have been noted elsewhere in this study. The qualities discerned in the participants' experiences had a dynamic, or 'involved with others', element that reflected the intrapersonal aspect of the extensive engagement they experienced in their lives.

Prior to discussing the dynamic leader qualities, however, it is noteworthy that early experience of leadership or responsibility was evident in each of their lives, and most had multiple leadership experiences. Three worked in their parents' shops for a number of years beginning at an early age and were required to deal with adults, communicate well, and make decisions. Five were organized team or group leaders, two were presidents of the student union, one was a valedictorian, one coached peers in university, and another was a prefect. All of them considered these early leadership experiences to be entirely natural, that is, without artifice or effort on their part, and not something they specifically sought to do:

> I never, ever in my life, at that time certainly, thought that I had anything that would qualify as leadership qualities.

* * *

> But it was a very natural thing, it wasn't an unnatural. . . . I was always one of the ones that participated, along with several others, in leadership positions. But I wouldn't say there was anything great, uh, a great affinity [for it].

* * *

> Again, it was just that I'd go and achieve things, and so people would follow me. But I don't think I lead. . . . Just wanting to do my best and so, other people would try to do the same. Like, we had a really good hockey team and I think just my, not my aggressiveness, but just my movement and drive. I can remember people always trying to duplicate that.

* * *

> I never considered them leadership things but in retrospect they are the kind of things that fit that. . . . I just kind of fell into that.

As one of the most important dynamic leader qualities, helping to develop others or mentoring was frequently referred to as an integral part of their leadership. Whether it involved considering important and therefore making available to employees and their spouses a personal development program or whether it involved one-on-one interaction, this quality was significant.

> I have been very blessed by that. Somehow people kind of adopted me over time. So I have tried to do that myself, and spend half of my time still counselling people. It's a great satisfaction.

* * *

> . . . but to me that's in the final analysis the best thing that you can do for society. That's because you can help people develop and train people as to how to manage or to be leaders within the limitations of their own innate skills. I mean that's the thing that we need the most in the world of business or for that matter in society, it's the toughest thing . . . finding the right kind of leadership.

Other dynamic leader qualities related to the personal characteristics of the participants themselves. They spoke of self-sufficiency and self-reliance. They recounted the importance of being energetic, enjoying working with people, having fun, instilling trust, and accomplishing something.

> I'm a more action-oriented person. And I am a generalist rather than a highly focused specialist. . . . there are lots of things I don't know much about but I usually have about me people who complement what I am doing. . . . I enjoy working with people and people enjoy working with myself. You have to accomplish things and you have to have some fun doing it.

* * *

> I think trust comes into all of that somewhere along the way . . . Instilling that trust . . . I think people have to trust the management of this company, they have to trust me, that the vision that we are collectively laying out is the right vision for the company, is the right direction. . . . They've got to trust that they are going to be appropriately recognized and rewarded, and they're going to be treated fairly in all those things.

* * *

> It's lead by example, and that's never changed . . . thinking about all the things you are doing, and remembering them, and suddenly you become good at something that you're doing.

* * *

> I am here to develop, I'm here to work together, and I'm here to do it with fun and integrity.

* * *

> Most people like me are quite dedicated to what they were doing and . . . they want to be busy and they want to have some sense of accomplishment.

* * *

> . . . that's why I keep doing what I am doing, I get some sense of accomplishment of it in the final analysis. . . . Whether anybody else knows about it or how you're involved, I don't really care. I just feel, by God, I was involved in that thing with nice people and we've done something. . . . I love having people around me

> and I think I do well in that sort of environment with a group. . . I have a reasonable amount of energy, I try to dedicate it to the things that I think are important.

* * *

> I think as much as anything, it's knowing yourself and trying to just know what you have to do to be able to cross that threshold of giving other people responsibility. You really have to really trust people to do that and sometimes that's easier said than done.

Communicating effectively and honestly was an oft-referenced dynamic leader quality for the participant chief executive officers. The purposes for the communication differed according to the situation and need, but the essential quality remained constant. The following illustrations reflect the core essence of the importance they ascribed to their communication:

> You respect people for what they are . . . be positive and then you can influence them in the right direction, but with the caveat that you also have to give them the negative feedback honestly when it's required. And be a part of it, not insulate yourself. . . . If you are going to talk to somebody, run up to his office and talk to him. You might see, you know, a kid's drawing on the wall which tells you a whole lot more about the person than a telephone conversation or an exchange of letters.

* * *

> I hope that I'm not always a coming up with the right answer-type of leader, which you have to do in a small organization where you are making all the decisions. As you develop you have to have other people to do that, in order for your organization to grow. . . . changing my leadership has just been

allowing other people to come up with the right answers and to lead in that regard.

* * *

I think I have always been insightful in getting facts.

* * *

I try to be as direct as I can in terms of communicating with people and let people know where I stand. . . . I have always liked people and I have great confidence in people.

* * *

I think I do, and always have, valued other people's opinions. Particularly where you get people in who've obviously demonstrated some skill and some expertise. . . . you can find a better solution if you try and take the good points out of there and the good points of my own.

* * *

My role here is to offer to give guidance . . . I've got so many contacts with outside people that I help them meet people . . . somebody to talk to, discuss ideas with, discuss what's going to happen . . . there's almost nothing that's significant that you don't discuss.

* * *

I think being prepared to work, and sort of roll up my sleeves and get in there with whoever is dealing with whatever problem. Not being focused on the, sort of, hierarchy. . . . I just don't have any time for those kind of politics. And I think being able to, sort of, stand back and look at an issue and do a reasonably good job of understanding what the root problems are or the root causes are. And then trying to help people see what those root causes are and find the solutions, or draw the solutions out of the people....And so, a lot of what I do today is problem solving.

The dynamic leader qualities illustrated above contributed to the intrapersonal aspect of the overall concept of extensive engagement.

Interpersonal Engagement

The participant chief executive officers in the study were consonant in being extensively engaged with others in their world. This interpersonal engagement was discerned within the study as the connectedness they experienced with their families, their company, and their community at large.

Engaged with family. For each participant, the relationship that they shared with their family members was tremendously important. Whether their family consisted of a wife with adult children, or a wife and young children, or also included grandchildren or close relatives depended on their particular life situation; however, the importance they placed on that family connection was uniformly extremely high. They spoke of the richness that their family engagement has added to their lives and spoke of the primacy that they accorded to their involvement in family relationships:

> I have had a wonderful family life, lots of support and, I don't know, life has been very, very good to me.

* * *

> . . . so I guess the important thing is making sure the family is the strong focus. That they are a strong unit, have a healthy outlook, accept challenges.

* * *

> It's that we're very close and they are all first class kids. And all each other's best friends and our best friends. We have got a very, very close family . . . and they are just quality people.

One participant recounted the expectation of continued time away from his family as a material aspect of his decision to leave his previous company:

> So I spent almost two years, I was [travelling] I think 14 times in two years, anywheres from one week to five weeks at a time, leaving my family back here. And I didn't like that one little bit. And there was going to be more of that. There was no way they'd get me to do it. I'd had enough of that.

Evident in a number of these quotations is the use of the term 'we' or 'us', referring to themselves as part of a married couple. This perception makes explicit the partnership or engagement they feel with their spouses. Five participant husbands spoke very specifically about the tremendously positive way their wives have affected their lives:

> to become more like [a personal goal is] for my wife and I to have a great marriage which we have today, and for us to be able to continue that and to enjoy everything that comes with it. . . . maybe I just knew the type of person that I wanted to be with and I was looking for. And maybe spent a bit more time thinking about the type of person that I wanted to be with, and I am just real happy that it's working out very well for us.

* * *

> There's one person that's pretty key in here and I haven't mentioned, is my second wife. . . . she is extremely important

> because she was another side of the world that I'd never seen really. . . . And so she gave me a lot of insight. . . . And also because she's opposite it's extremely balancing for me. She has me and I have to become more like her.

Their role as a father was prominent and their focus was engaged on their children, whether the children were young at home or living independently:

> We've had a successful family, we've got three kids off on their own, and I talked to one already this morning about next year's family holiday. And so my wife and I are very comfortable that that's been a success, and I have got grandchildren coming...

* * *

> . . . when I do bite the dust I'd like to see the kids being happy . . . and fulfilled.

* * *

> We're just starting a family so it would be . . . for my wife and I to be able to give our kids a good education and bring them up to know and use strong morals and principles, and all the things that can allow them to go on and have a fruitful and meaningful life.

* * *

> And the ability to have kids again and to enjoy that aspect of it just overwhelms me, because I find that I actually can learn more from watching the little kiddies grow up than you can from interacting with grownups.

As can be seen from the foregoing, the bond that the participants have with their wives and their children, along with the richness this has accorded their lives, illuminates the extensive engagement these individuals enjoy with their families.

Engaged with company. Another key constituent of the participant chief executive officers' interpersonal relations is the engagement they experienced with their companies. They all felt a deep commitment to their companies, more specifically to their employees and shareholders.

> I just try to . . . make the company such that we can be a successful company, with the shareholders who will be happy with us, or each of the people are really happy with themselves as well as with their contributions.

The extensive degree of interaction that occurs on an ongoing basis in different situations throughout the company is readily apparent. The participants ascribe great importance to their interaction with others in their companies. This may occur in the context of making a weighty corporate decision:

> . . . our senior group in the company here, we would do a lot of talking about it and look at the positives, look at the negatives, trying to understand what the exposure was and how we could deal with it. So that would be a pretty open, freewheeling discussion. There would also be discussions outside the company [with] some people who I would trust from a confidentiality standpoint. . . . And so we'd use them in a mentoring role or as a sounding board to say, "Well what if we did this? What do you think? What are the issues that we are going to face?" So it would be a combination of those two sets of conversations, and they are sometimes hard to distinguish because it might be a mixed group. . . . But it would be very

> much a process of getting some other views.

Or, the interaction may occur within the context of assisting someone who has a difficult personal situation that requires attention:

> I would tell the individual to go take care of his family matters first, and usually you can bring in somebody else, and we'd all pitch in and hopefully take over for the individual.

* * *

> . . . it would be a number of us sort of rolling up our sleeves and taking on the job that that one person was doing. There aren't many things that happen in our company where it's only one person doing it. . . . So, if we create a circumstance where maybe that did happen, then I guess it may fall to me to sort of pick up the reins where that person was and carry on.

* * *

> We've had divorces for instance in very senior people who've struggled and I've just arranged that, I've talked with them and I say for the next few months, or six months, or whatever it is, you're going to be distracted with doing other things, and so you have to let me know. I've lots of people who come into my office and shut the door and tell me some issue.

Another important interaction might be to assist the company during a time of transition:

> I turned the CEO and I'll become the Chairman. Somebody asked me if I'll just become the type of chairman for a three year period and just kind of phase out. But I don't think so, at least not phase out. Maybe back off slowly and be around to help. Now I can do that.

A participant related his overall perspective of how his interaction fit within the needs of the company:

> . . . the coach of a team, I am not one of the players. I am a playing coach, in a way. I do that by I assist on the strategy, I take ultimate responsibility for the company. . . . And so my role is to clear the rocks off the road for a whole bunch of really good people so they can drive on the road. And then help them choose which road it is that they want to drive on. . . . And so I do whatever I can to increase their effectiveness.

An additional significant type of interaction within a company involves recognition of the value that others add to the company. These two participants related their appreciation of the important contributions others make to the company:

> . . . all people are as important as anyone else . . . within the confines of yourself . . . in my case the chief executive officer with respect to the secretary within her sphere. That individual has to feel that they are the most important, sort of, person in their part of earth.

* * *

> There's a fine balance between making sure that they see that I am interested in what they are doing. The other part of the equation is making sure they understand that I'm not trying to overrule or be in the way of their own boss. So I like to go around and pat them on the back and say hello and have a visit with them, but without even a suggestion that there is any authoritative thing going on. . . . They like to be appreciated and they like to be seen to, they like people like me to come and notice there's interest in what they do.

Being engaged with their companies was also reflected by these

CEOs in the desire to be in close touch with various developments within the company:

> . . . the way I lead is when I see somebody who's got terrific capabilities, business judgement, leadership, like I just want to give that person as much responsibility as possible. What I do find an uneasiness when I see somebody that doesn't have what we need in a particular position. Then you'll probably tend to find me there sort of trying to deal with some of the problem areas.

* * *

> The touching the steel . . . I learned early in my life. . . . That's probably very key to my success; it's probably half. That I went out and really saw from the ground up what the oil industry did . . . and the only time that I see problems in our company is when we as a company aren't doing it enough. Because we are not out there in touch with people. We're not hearing the music, as others might say. . . . keeping in tune with your people and your projects.

Attaining a larger perspective was a valuable component of their engagement with their companies. They worked to achieve this broad perspective for themselves:

> . . . I think it's still right that CEO's at a certain level get the opportunity if they can to sit on two or three other company boards without detracting from their own business because they see what it's like to be a director, and they understand different businesses, and they understand a different geographical.

And they worked to help others within their company gain a broader perspective:

> . . . it was taking them through the process to understand why, and how you might look at this set of economics differently. . . . So it was very much a showing them the process or showing them a line of reasoning. Helping them to understand why I was thinking a little differently from the way they were going. . . . You know, this is a long term thing, building sort of a broader view.

Helping others within their company to develop themselves and their skills was an extremely important aspect of the participants' engagement with their companies.

> . . . being able to provide a platform for people to achieve quality in their lives, I am very interested in doing that.

* * *

> . . . the development of our employees and staff so that they get some personal gain and personal growth from working at [this company] for themselves and their families.

* * *

> I am here to help them be their best. That's my main purpose, but prior to that is I have to help myself be my best first.

This participant's characterization of his company uniquely reflects qualities that he has fostered in his company, which are valuable for advancing the development of others:

> . . . some of the characteristics that the company has got over the years . . . through consistency . . . is that we do have fun, we do joke. We make mistakes but we don't get killed for them. I

> think there is a sense that family has to be looked after, otherwise business suffers. So the people don't make the family sacrifices by giving up their vacations, et cetera, they are expected to take them. They are expected to look after the family because without that, you are not going to get an employee that can contribute.

The essence of helping others to develop primarily related to helping them become independent thinkers. The belief in this value impacted participants' interaction with employees, as this quotation illustrates:

> Like, I rarely will ever answer anybody's question. It's always, "How would you like to solve that?" Or, "What do you want to do about that?". . . "What facts do you need to make that decision?"

Several participant CEOs recounted how their desire to help develop their employees and assist them to become more independent led them to make available self-development programs within their companies. The resultant self-growth gained by the employees has the potential to positively impact the company:

> I think, particularly when we're delegating a bunch of authority to people and we're trying to build a sense of value and a sense of direction corporately or from a business standpoint, that there isn't a chance in the world that they [the employees] are ever going to be able to embrace that and take that up unless they've got that...self-reliant approach. Having the strength to say, "Yes I can do this," or "I can make this change and I know where I am going," and not relying on somebody else.

But the concurrent first step was to help effect a positive change within the employees, consistent with the participant CEOs' interpersonal engagement with their companies:

> . . . it's like having the individual take charge for his actions and his life, and not necessarily look to somebody else to improve their lot in life, but really get the individual to think about doing it for themselves....they are the ones that have to make decisions for themselves, so they have to lead themselves.
>
> * * *
>
> But the overriding themes are that unless you change the picture of what you are and where you are going, nothing will ever change . . . And because it's principally driven at the person, we also made it available to spouses so they could come because . . . it's really hard to make that change unless you've got some support at home. And so we had quite a number of spouses. . . . We just got wonderful comments back.

Engaged with community. The final complementary element of being extensively engaged within multiple aspects of their lives relates to the participants' engagement with community. Community, as it was considered for this model, related to the participants' immediate community of Calgary, the community of their friends, as well as the larger provincial, national or global communities.

> So I really feel quite comfortable with what I have accomplished at my stage and I'm not smug about it, but I still work at it and keep in touch there. . . . and I really mean friends, and I don't mean a whole bunch of associates.
>
> * * *
>
> I get very interested in the country too. I take a western view,

> and so I get very interested, participating sometimes in issues that are national.

One participant related how he has benefitted from his sense of engagement with a larger community, and encourages his children in choices that may contribute to a broader connection for themselves:

> . . . it was an outcome of what happened. And I say to my kids today, I recommend that you think about doing that. Because it just teaches you things about, not necessarily what you learn in university, just a view of the world.

Not surprisingly, a result of giving children encouragement to make decisions that will expand their perspectives and connections, and modelling for them the quality of engagement is that the children are more likely to experience a similar sense of involvement. As one individual related:

> . . . as soon as I get asked to do something I get involved. And as soon as you get involved, somebody decides you should do something more. And just one thing led to another. . . . Other things like the Olympics is just to be involved; we just seem to want to do that. Our whole family is like that.

Consistent with their values that reach beyond personal needs and with their connection to family and company, these individuals feel a sense of responsibility to and a connection with their communities:

> . . . we're a very effective partner within the broader community.

> Because I believe that very, very specifically, that in the future the bottom line of businesses is going to be tied even more tightly with their sense of fairness and justice and interest in the community. . . . after the transition is over I want to continue, I will continue to be a participant in the industry, and a participant in the community in the broadest forms.

* * *

> . . . so I try to do the best that I can for society in general, and that's why I don't even distinguish between the time I spend at [work on behalf of a volunteer board] versus the time that I spend at [work on behalf of a corporate board].

Consistent also with having values that encourage personal growth, these two participants discussed the personal meaningfulness that their engagement with community has provided:

> You know, it's pretty easy to think we run the world from Calgary 'cause if you are only dealing with the oil and gas business, you may have a pretty narrow view of the world. So I have always tried to do that, to get out in touch with perhaps the broader community.

* * *

> I get a lot of personal growth out of that and a lot of personal satisfaction, working with other leaders in the community, you know, develop some great friendships and see a different side of life than just corporate.

Summary

The theoretical model that evolved from the present study accords a way of viewing and understanding the extensive engagement experienced by the participant chief executive officers.

They experience this engagement throughout multiple aspects of their lives, both intrapersonally and interpersonally. Indeed, their style of interactive leadership that initially helped define them as a participant group is considered an aspect of their interpersonal engagement.

The intrapersonal component of their extensive engagement reflects personal attributes that are outwardly focused and thus involve the world around them. The participants' experience gave expression to three concepts of intrapersonal engagement. The first of these distinguishes that these individuals possess values beyond their own needs. They are motivated by a desire to improve the world around them and to 'make a difference'. Acting with honesty, integrity, trust, and responsibility are fundamental to them.

The next concept discerns that these individuals hold a positive approach to change. This positive approach is evident in several different ways. One such example is their positive attitude in accepting that change is integral to life. As well, by being accepting of themselves they are more easily able to deal with life's changes; by being proactive and anticipatory they are better prepared for life's changes. Two participants relate their success in attaining a positive approach to change by achieving a better balance in their lives and reframing frustrations they felt about change.

The final concept of intrapersonal engagement illuminates the dynamic leader qualities shared by the participants. Mentoring or helping develop the potential of others provides tremendous satisfaction. Not only are these individuals self-reliant but from their experiences related to the researcher, it is evident that they are energetic, enjoy working with others, and strive for accomplishment. The quality of their communication is important, and has a focus on honesty and effectiveness.

The interpersonal aspect of these participants' extensive engagement is discerned as the connectedness they experience with their families, their companies, and their communities at large. The participants speak of the richness that their family engagements have added to their lives. Indeed, so unacceptable was one individual's extensive requirement to travel that he left that company to begin another. These men feel a partnership with their wives and recount how their spouses have affected their lives in tremendously positive ways. As well, their role as a father is prominent in their lives, whether their chilren are young and at home or adults living independently.

The engagement they enjoy with their companies contributes to the responsibility they feel to their employees and shareholders. The emphasis placed on direct interaction is a key component of their engagement, and is evident in their decision-making and compassion shown to others in times of personal difficulty. They appreciate the contributions of others and consider it important to reflect that. The value of staying close to developments within the company is recognized. Another extensive aspect of their engagement with their companies is the priority they place on helping to develop employees and making available processes that allow others to develop themselves.

The final element of their interpersonal engagement relates to the participant chief executive officers' community. They perceive this involvement to include their immediate community, their community of close friends, and the larger communities whether provincial or global. They relate the personal importance of this involvement; it adds a broadness to their lives and their perspectives. Their children, if young, are encouraged in choices that have the potential to provide them with broader connections and, if older, already share a similar attitude toward connection with community. These individuals, personally and through company policy, feel a responsibility to their communities due to a sense of accountability, justice, and a need to contribute and 'give back'.

Being extensively engaged within multiple aspects of their lives is a concept that embodies an interconnection between the various intrapersonal and interpersonal elements discussed above. This participant expressed a sense of the disparate elements that contribute to the overall modality of extensive engagement:

> . . . just the realization that there is sort of a holistic approach towards personal, uh, what word am I looking for, in order to

fully develop yourself it has to be holistic, not one dimensional. Therefore extracurricular activities are important, the family is important, not as an extracurricular activity but you have to look after the family. You have to be physically fit, you have to look after your body as well as your mind as well as your spirit, as well as all of this.

CHAPTER FIVE

Integration, Limitations, and Implications of the Results

The current study sought to gain an increased understanding of chief executive officers' interactive style of leadership through an examination of their formative life experiences. The wide ranging accounts of these leaders gives rise to an understanding of the extensive engagement they experience with multiple aspects of their lives. This comprehensive engagement can be understood through their intrapersonal and interpersonal worlds. Indeed, their interactive leadership style becomes appreciated as a facet of the individuals' interpersonal engagement with their companies.

The purpose of this final chapter is, with consideration of the findings, to examine the conceptual model in relation to the current literature in the area, and elaborate upon the researcher's discoveries and interpretations. Implications for further research are presented.

Integration of the Findings with Current Literature

Situational Approach

The situational studies focus on the characteristics of leaders, the subordinates, and the situation. The premise of the situational approach (e.g., Fiedler, 1967; House, 1971; and Vroom & Yetton, 1973) is that situations varied in the qualities demanded of leaders, so qualities utilized by the leaders are variously appropriate to a particular task and interpersonal context. The findings of this study do not appear to support the situational approach. The participant leaders consider themselves to be consistent across situations in their leadership style, in the personal qualities they choose to display, and in their manner of interpersonal relating.

Transformational Approach

The model of the current study appears closest in key concepts to transformational approaches to leadership which describe leaders in terms of articulating and focusing a vision and mission, creating and maintaining a positive image in the minds of followers, setting challenging expectations for followers, showing confidence in and respect for followers, and behaving in a manner that reinforces the vision and the mission (House & Singh, 1987; Sooklal, 1991). The transformational approach also focuses on the factors of followers' emotional responses to work-related situations such as: their self-esteem, trust, and confidence in the leader, or their values and motivation to perform above and beyond the call of duty. It is perceived by those involved individuals, both leaders and followers, as a preference of being. Theories of this kind have been advanced by House (1977), Burns (1978), Bennis and Nanus (1985), and Bass (1985).

With regard to the present study, however, an important distinction must be made when any comparison is drawn between it and transformational approaches to leadership. Because follower perceptions were not part of the study, it is inappropriate to consider follower responses to leadership; therefore exploration of the 'trans' aspect of transformational approaches must remain incomplete within the confines of this study.

The descriptions of the leaders involved in transformational leadership, as noted above, appear relevent to this study. For example, the participant CEOs emphasized the importance they placed on developing employees, ensuring honesty and integrity were part of their way of doing business, developing a corporate vision and mission that was responsible to shareholders and employees, and having a meaningful life. However, according to Burns (1978), transformational leadership occurs when leaders and followers interact with each other and "raise one another to higher levels of motivation and morality" (p. 20). While this study cannot add clarity to followers' motivation, it appears doubtful that the participant CEOs are motivated by their employees to a higher level of morality; according to their narratives, they experience a high level of internal motivation for their goals, values, behaviors, and interactions.

While the findings of this study support the descriptions of participant leaders as consistent with those identified in transformational leadership, Behling and McFillen's (1996) analysis of their model of charismatic/transformational leadership posits that this type of leadership is a set of "learnable, teachable behaviors and not a mystical talent or trait" (p.183). This researcher disagrees on an intuitive level that this type of leadership is teachable. Findings in the present study indicate the participants experienced early leadership situations, all of which were natural situations to them. As well, the model of extensive engagement derived from their narratives is so comprehensive that it appears to be more akin to an attained developmental level or degree of maturation, than to a learned state. That is, the thoroughness with which the participant CEOs appear to experience their extensive engagement belies the concept of instruction, and contributes to a genuineness and sustainability not readily ascribed to a learned state. However, it should be noted that progress toward this developmental stage can likely be encouraged, which speaks to the value of a human relations emphasis within management training programs.

Participative Leadership Style

According to Kets de Vries (1989) a fundamental value of participative leadership for the leader is that it assists to offset psychological forces that can create a multitude of problems for CEOs. As an example, he relates how the top leadership position in an organization is necessarily isolating in that it leaves the CEO without peers. He considers that the difference between CEOs who experience adjustment difficulties and those who don't, is that the latter are more accessible, interactive, and open to change. The findings of this study support Kets de Vries' views that the CEO position can be isolating and that the participative style offers psychological benefit to the leader, as it is recalled that two participants spontaneously discussed the effect of loneliness and the valuable antidote their engagement to others provided them.

Fiedler and Garcia (1987) found evidence that demonstrated that when under stress due to problematic relationships with their group members, leaders rely on prior experience and do not make effective use of their intelligence. This finding has relevance to the findings of the current study. The narratives of the participants in this study reflect the emphasis they place on building and maintaining important relationships, and on achieving a balance in their lives. These characteristics of the participant leaders have clear potential benefit by helping them reduce any potential stress that may be experienced due to problematic relationships. As a result, this participative style of leadership and engaged quality of life shows promise for helping leaders reduce undue reliance on prior experience and maintain effective and proactive use of their intelligence.

Specific Phenomena of Leaders

Research findings in the area of individual phenomena of leaders such as tasks, roles, and behaviors appear generally supported in the present study by impressions gleaned from participants' narratives. It is acknowledged, however, that information related to those specific phenomena was not actively gathered, and that an analysis of the existing data for such phenomena is beyond the scope of this study. The exceptions to the research findings regarding specific phenomena being supported in the current study relate to attitudes and characteristics.

Attitudes. Research findings related to the area of leader attitudes appear to have mixed application to the findings of the current study. Judge et al. (1994) report on the simultaneous relevance of attitudes about job satisfaction, life satisfaction, job stress, and work-family conflict. Their finding that the effect of job satisfaction on life satisfaction is significantly stronger than life satisfaction on job satisfaction is not substantiated by findings in this study. Participant chief executive officers report striving for a balance in their lives, and experiencing a strong engagement in not only their work lives but also in their lives with family and community. It is therefore considered likely that they experience relatively similar strong satisfaction from the extensiveness of these areas of engagement.

It is, however, noted that their finding that a conflict between work towards family significantly increases job stress is substantiated in this study. For example, one participant spoke of the strain of excessive travel as it conflicted with his desire to be with his family, and considered it a major factor in his decision to leave that company.

Characteristics. A study examining predictors of executive career success provides information related to both objective and subjective executive characteristics (Judge et al.,1995). The results determine that executives who display a desire to get ahead (motivation) and develop their human capital (through education level, and quality and type of degree) are more likely to achieve objective success such as higher pay and top corporate positions. These results are variably supported by findings from the current study. Although the participant CEOs value achievement and thus displayed motivation and a desire to get ahead, they only variably display a desire to develop their human capital through formal education. It is recalled that their level of formal education ranged from high school matriculation to an undergraduate degree to two degrees. It is possible that motivation is the most important factor in the above referenced study in the achievement of objective career success.

A recent study (Adler, 1997) concludes that the prototype of leader characteristics that will help companies succeed in the 21st century is possessed by women who have been national leaders or CEOs of large corporations. Adler reports that these individuals have a vision of their company that reaches beyond economic goals, they excel at developing relationships and working collectively, and they earn rather than inherit their position. The results of the current study are consistent with the findings, with one obvious exception.

This study does not support Adler's premise that these adaptive characteristics are female gender-based traits. The findings in this study indicate that participant CEOs have values beyond their personal needs, take responsibility for relationships, have interpersonal sensitivity, are self-reliant, and, of course, each one is male.

It will become more important than ever for corporations to conduct their executive selection processes based on identified characteristics best adapted for future leadership responsibilities. Managing creativity, relationships and increased responsibility are key tasks for leaders, and psychologists are uniquely qualified to contribute to solutions in leadership selection.

Self-Actualization

Integration of the conceptual model arising from the present study with current literature in the area of leadership is valuable in that it is reflective of an important aspect of the model--that of the participants' engagement with their companies. The model, however, encompasses a larger concept of the participants' extensive engagement with multiple aspects of life. It is possible to relate the complete model to a specific perception of human development.

The findings from the present study support Maslow's (1954) process of the full development of potentialities. The participant individuals in this study have met their lower-level needs, and are at a stage in their lives where they are in the process of developing their full potential, or becoming self-actualized. They are positively and extensively engaged with their families, as well as their companies and communities. Their needs for love, association, and participation, that is the belonging needs, have been met. They have met esteem needs. They are confident of their abilities, focused on the direction they are taking their companies, and do not perceive limitations to what they can accomplish in their personal lives. The current findings reflect that these individuals possess values that reach beyond their personal needs, they are self-sufficient, they have repect for others they come into contact with and are free of cultural stereotypes. They place a high value on the strong relationships with family members and their close friends. It is clear that the participant individuals in the present study are deeply involved in the process of genuine personal growth in the later adult stage of their lives.

Implications for Future Research

Throughout the process of this investigation several important questions have emerged. Further research in the area is indicated.

First, studies that involve other chief executive officer population groups should be undertaken. Other populations that have the potential to add valuable information to this study include leaders of organizations in the public sector or other industries, female CEOs, and chief executive officers who utilize other leadership styles.

Secondly, considerable research in the area of leadership involves followers: their perceptions, satisfaction, attributions made to leaders, and level of commitment to the organization such as acceptance of structure and goals of the organization. Considerable opportunity exists in continuing the line of research involving participative chief executive officers and their followers.

Thirdly, further consideration should be given to the specific phenomena of participative leaders, such as tasks, roles, behaviors, attitudes, and characteristics. This area shows considerable promise due to the initial appraisal in this study's findings that there appears to be consistency between specific phenomena of leaders and the participant leaders of this study.

Finally, the results of this study led to a comprehensive model of the research participants' experience of extensive engagement at a particular point in their lives. A follow-up or long-term study could be undertaken which would provide information in two main areas. One relates to the concept of extensive engagement, and whether the extensiveness of the engagement varies across time. The second area relates to the concept of self-actualization and whether the identified relationship between it and the model is sufficiently robust to remain relevant and, if so, information significant to any increase of self-actualization of the participants would be valuable.

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*FONG HENDERSON AILON & NORRIE
Consultant Psychologists

April 17, 1996

APPENDIX A

FIELD(Name)
FIELD(Title)
FIELD(Company)
FIELD(Street Address)
FIELD(City, Prov CODE)

Dr. Larry S. Fong
Direct Line: 233-7533

Elizabeth I. Henderson
Direct Line: 233-7639

Eileen Ailon
Direct Line: 266-2017

Dr. Beatrice Norrie
Direct Line: 264-4455

Dr. Valorie Selland
Direct Line: 266-2017

General Line
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FIELD(Salutation)

I am writing to ask that you contribute your knowledge and personal experience of leadership in the petroleum industry through participation in a doctoral research project. I do so in the belief that knowledge resulting from this research will make a worthwhile addition to the existing body of research on interactive and enlightened leadership.

Your associates have identified you as an industry leader who utilizes a collaborative, or interactive, style of leadership and your participation will be of immense benefit to the study. The purpose of this research is to gain an understanding of the process of development into an interactive and enlightened leader.

I am conducting this research for my doctoral dissertation in psychology, and have chosen this topic because of my familiarity with the petroleum industry and my interest in effective and enlightened leadership. I bring to this project high standards of integrity and dedication to quality.

Information will be gathered from one or possibly two interviews with each participant. I recognize and respect the value of your time; therefore, each audiotaped interview will be approximately one hour in length and will occur within several weeks of each other. The detail of all discussions will be kept confidential. All identifying information will be removed from the dissertation report. Participants will receive an executive summary of doctoral research results.

I hope that you will agree to lend your support by participating in this unique project. I will contact you by telephone next week and will be pleased to answer any questions you may have at that time or arrange to meet with you to discuss your participation.

Yours sincerely,

Elizabeth Henderson Jennings, C. Psych. (AB)
Consultant Psychologist

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APPENDIX B

INFORMATION

PROJECT:	Leaders' Reflections on the Development or Attainment of an Interactive and Enlightened Style of Leadership
INVESTIGATOR:	Elizabeth I. Henderson, M.Ed., C. Psych. (AB)
SUPERVISORS:	Dr. Don D. Sawatzky, Ph.D., C. Psych., University of Alberta Dr. Ken L. Ward, Ph.D., University of Alberta

The purpose of the above-named study is to gain an understanding of the development of an interactive, or participative, style of leadership. Information will be gathered from interviews with executives who are identified by peers and associates as utilizing an interactive style of leadership.

While it is recognized that the participants may not benefit directly from their involvement in the study, we anticipate that the experience will be interesting and will make a worthwhile contribution to the existing understanding of leadership, as reflected in research.

Participation in the study is entirely voluntary and will likely involve two one-to-one interviews with the investigator, Elizabeth Henderson. The interviews will be audiotaped and will last approximately one hour. They will likely occur within several weeks' time of each other. The interview audiotapes will be coded by number rather than name and will be transcribed into written form. The transcripts will also be coded by number. All audiotapes will be kept secure and will be erased at the end of the study. The contents of all discussions will be kept confidential and only research associate who has signed the investigator's required Oath of Confidentiality will transcribe the numerically coded audiotapes.

Participants are free to withdraw from the project at any time without penalty or repercussions. During the interviews, participants do not have to answer any questions or discuss any topic that they do not wish to. They may end an interview at any time.

Participants will have the opportunity to read the transcript of their first interview prior to their second interview, for the purpose of clarification and elaboration. They will have the opportunity to read their second transcript and add further information if they desire. Participants will have access to only their own transcripts. All research participants will be provided an executive summary of the final results of the study.

APPENDIX C
INFORMED CONSENT

PROJECT: Leaders' Reflections on the Develpment or Attainment of an Interactive and Enlightened Style of Leadership

INVESTIGATOR: Elizabeth I. Henderson, M.Ed., C. Psych. (AB)

SUPERVISORS: Dr. Don D. Sawatzky, Ph.D., C. Psych.,
University of Alberta
Dr. Ken L. Ward, Ph.D., University of Alberta

The purpose of the above-named study is to gain an understanding of the development of an interactive, or participative, style of leadership. Information will be gathered from interviews with executives who are identified by peers and associates as utilizing an interactive style of leadership. It is anticipated that the experience will be interesting to the participants and that the resultant information will make a worthwhile contribution to existing research and understanding about leadership.

I, ______________________, agree to participate in the above-named research project. I understand that my involvement likely includes two separate one-to-one conversations with Ms. Henderson, lasting approximately one hour each. I am aware that the contents of discussions with Elizabeth Henderson will be kept confidential.

I give permission for the interviews to be audiotaped and transcribed, and I understand that the audiotapes and transcriptions will be coded by number rather than name. Only Elizabeth Henderson will have access to the numerically coded list of participants' names. All audiotapes will be erased at the end of the study.

I understand that I am free to withdraw from the project at any time without penalty or repercussion, and that I do not have to discuss any topic that I do not wish to. I acknowledge I have been given the opportunity to ask questions of the researcher and am satisfied that they have been answered sufficiently. I understand that I am free to ask questions that may arise during the course of the project.

______________________ PARTICIPANT	______________________ INVESTIGATOR
______________________ WITNESS	______________________ DATE

APPENDIX D

DEMOGRAPHIC DATA

Interview Dates: ____________________ Place of Interview: ____________________

Participant Name: ____________________ Participant Number: ____

DOB: ____________________ Gender: ____ Race: ____________

Highest Education Level: ____________________

Marital Status: ____________ # of Years Married: ____________

Children, DOB:

Company: ____________________

Title(s): ____________________

Type of Company: ____________________ Incorp: ____________

# of Employees: ____________ Current Production: ____________

Year Joined Company: ______ Initial Size of Company: ____________

Field Notes: